



**MINISTRY OF FINANCE OF UKRAINE
ORDER**

04.06.2021

Kyiv

No. 322

**Registered with the Ministry of Justice of Ukraine
on August 6, 2021 under No. 1035/36657**

On approving Procedure for exchanging information on financial monitoring

In accordance with parts one and fourteen of Article 16 of the Law of Ukraine “On prevention and counteraction to legalization (laundering) of the proceeds from crime, terrorist financing and financing proliferation of weapons of mass destruction”, Regulation on the Ministry of Finance of Ukraine approved by Resolution of the Cabinet of Ministers of Ukraine of August 20, 2014 No. 375, Regulation on the State Financial Monitoring Service of Ukraine, approved by Resolution of the Cabinet of Ministers of Ukraine of July 29, 2015 No. 537, and Procedure for submitting information for registration (deregistration/renewal of registration) of reporting entities, registration and submission by reporting entities to the State Financial Monitoring Service of information on financial transactions subject to financial monitoring, other information that may be related to legalization (laundering) of the proceeds of crime, financing of terrorism and financing of proliferation of weapons of mass destruction, approved by Resolution of the Cabinet of Ministers of Ukraine of September 9, 2020 No. 850, in order to determine the formats, structures, requisites of reports, requirements, directories for their completion and visual form of reports, procedure for information interaction of reporting entities and the State Financial Monitoring Service of Ukraine, as well as the procedure for creating personal cabinet and access to the financial monitoring system e-cabinet

I ORDER:

1. To approve the attached:

Procedure for creating personal cabinet of reporting entity and access to the financial monitoring system e-cabinet;

Procedure for information interaction between reporting entities and the State Financial Monitoring Service of Ukraine.

2. To recognize as invalid orders of the Ministry of Finance of Ukraine:

of June 8, 2015 No. 542 “On approval of Procedure for forming accounting identifier and providing certificate on accounting identifier and form of such certificate”,

registered with the Ministry of Justice of Ukraine on June 24, 2015 No. 749/27194 (as amended);

of November 24, 2015 No. 1085 “On approval of Procedure for electronic interaction between reporting entities and the State Financial Monitoring Service of Ukraine”, registered with the Ministry of Justice of Ukraine on December 18, 2015 No. 1593/28038;

of January 29, 2016 No. 24 “On approval of forms of accounting and submitting information related to financial monitoring and Instruction for their completion”, registered with the Ministry of Justice of Ukraine on February 16, 2016 No. 241/28371 (as amended).

3. Coordination and Monitoring Work Department of the Ministry of Finance of Ukraine shall, in accordance with the established procedure, ensure:

submitting of this order for state registration to the Ministry of Justice of Ukraine; promulgation of this order.

4. This order shall take effect on the first Monday of the fourth month following the suspension or cancellation of martial law.

{Clause 4 as amended by Orders of the Ministry of Finance No. 602 of Nov 17, 2021, No. 113 of Apr 07, 2022}

5. Control over the implementation of this order shall be assigned to First Deputy Minister of Finance of Ukraine D. Uliutin and Deputy Head of the State Financial Monitoring Service of Ukraine V. Zubriy.

Minister

Serhii MARCHENKO

AGREED:

**Head of the State Financial
Monitoring Service of Ukraine**

Igor CHERKASKYI

**Head of the National Securities and Stock
Market Commission**

Ruslan MAGOMEDOV

**First Deputy Minister of Digital
Transformation of Ukraine**

Oleksii VYSKUB

**Head of the State Regulatory Service of
Ukraine**

Oleksii KUCHER

**Head of the State Service of Special
Communications and Information
Protection of Ukraine**

Yurii SHCHYHOL

**First Deputy Prime Minister of Ukraine -
Minister of Economy of Ukraine**

Oleksiy LYUBCHENKO

Governor of the National Bank of Ukraine

Kyrylo SHEVCHENKO

PROCEDURE
for creating personal cabinet of reporting entities and access
to the financial monitoring system e-cabinet

I. General provisions

1. This Procedure is designed to ensure the submission/receipt by reporting entities in accordance with the Law of Ukraine “On prevention and counteraction to legalization (laundering) of the proceeds from crime, financing of terrorism and financing of proliferation of weapons of mass destruction” (hereinafter – the Law) of information required for their registration as reporting entities, information on financial transactions subject to financial monitoring, other information that may be related to legalization (laundering) of the proceeds from crime, financing of terrorism and financing of proliferation of weapons of mass destruction (hereinafter – information related to the implementation of financial monitoring), as well as communicating by the SFMS of information to a reporting entity in accordance with the law.

2. This Procedure defines general principles for functioning of the information and telecommunication system “the financial monitoring system e-cabinet” (hereinafter – e-cabinet) as a component of an unified information system in the area of prevention and counteraction to legalization (laundering) of the proceeds from crime, financing of terrorism and financing of proliferation of weapons of mass destruction (hereinafter – the unified information system), procedures for creating personal cabinet of a reporting entity, identification of users to access it, electronic interaction of reporting entities and the SFMS for provision/receipt of documents, information, required by the Law.

3. In this Procedure, the terms shall be used in the following meanings:

e-cabinet security administrator – a responsible person assigned by the order of the SFMS, who in accordance with the entrusted functional powers carries out general control over the security in the system, as well as controls the compliance of software and hardware settings of the e-cabinet with the adopted security policy;

reporting entity’s address – information about the reporting entity entered into the unified information system, in particular an e-mail address consisting of an identifier, an “@” mark and a domain name used by the e-cabinet user for correspondence on financial monitoring issues or a postal address entered in e-cabinet, which is used in case of impossibility of electronic information exchange;

qualified electronic signature (hereinafter – QES) of the reporting entity:

for a legal entity – QES of the official-manager of the legal entity, or the employee responsible for financial monitoring (hereinafter – the compliance officer) or the person who will temporarily perform his duties, in the certificate of which the registration data of the entity and such person are indicated;

for an individual – the QES of the person in whose certificate the registration data of this person are indicated;

right of access – actions that users have the right to perform in e-cabinet;
registration data – identification code according to the Unified State Register of Enterprises and Organizations of Ukraine (hereinafter – the identification code of the USREOU), for individuals – registration number of the taxpayer's account card or series (if any) and passport number (for individuals who due to their religious beliefs refuse to accept the registration number of the taxpayer's account card and notified the relevant supervisory authority and have a mark in the passport);
e-cabinet technical administrator – an independent structural unit of the SFMS, which in accordance with the functional authority takes measures to ensure the creation, implementation and maintenance of e-cabinet software, is responsible for all stages of the life cycle of such software, for its technical and technological support, implementation, operation, update, modification, debugging, ensuring the integrity and authenticity of the source code; carries out technical and technological measures to provide, block and cancel access to e-cabinet, is responsible for storing and protecting system data;

receipt file – a notification about the results of the submitted information processing.
Other terms shall be used in the meanings defined in the Law, Laws of Ukraine “On Electronic Documents and Electronic Documents Circulation”, “On Electronic Trust Services”, Procedure for Submission of Information for Registration (Deregistration/Renewal of Registration) of the Reporting Entities, Registration and Submission by the Reporting Entities to the State Financial Monitoring Service of Information on Financial Transactions Subject to Financial Monitoring, Other Information that May be Related to Legalization (Laundering) of the Proceeds of Crime, Terrorist Financing and Financing Proliferation of Weapons of Mass Destruction, Procedure for Accounting of the Reporting Entities by the State Financial Monitoring Service, Procedure for Accounting of Information on Financial Transactions Subject to Financial Monitoring by the State Financial Monitoring Service, approved by Resolution of the Cabinet of Ministers of Ukraine of September 9, 2020 No. 850.

4. Information and telecommunication system “financial monitoring system e-cabinet” is available on the Internet at cabinet.fiu.gov.ua. The official web portal of the SFMS has a hyperlink to the address where the e-cabinet web interface is located. E-cabinet includes an open (public) part and a private part (a personal cabinet).

E-cabinet is conducted in Ukrainian.

E-cabinet works constantly (24 hours on the date of each calendar day), except for the time required for its maintenance. The duration of maintenance is set by the SFMS and published on its official web portal.

E-cabinet in the process of functioning interacts with other information and telecommunication systems of the SFMS and state electronic information resources. E-cabinet using a comprehensive system of information protection with compliance, confirmed in accordance with the procedure established by the legislation, provides data protection (including personal data, and those that constitute financial monitoring secrecy) from unauthorized access, leakage, interception, loss, destruction, modification and blocking.

II. Creation of a personal cabinet and access to e-cabinet

1. A personal cabinet of the reporting entity is created on the basis of the information on the reporting entity submitted by it in accordance with the established procedure. Creation of a personal cabinet by a new reporting entity, that is to be registered, is carried out on the basis of the QES of the reporting entity (individual, individual entrepreneur) or the manager of the reporting entity – legal entity, that has the right to perform transactions on behalf of the reporting entity, on the results of successful electronic identification and authentication of such person and the primary information about the reporting entity entered into the unified information system in accordance with the requirements of the Law.

Creation of a personal cabinet by the registered entity is carried out on the basis of the QES of the reporting entity (individual, individual entrepreneur) or the manager of the reporting entity – legal entity, that has the right to perform transactions on behalf of the entity, on the results of successful electronic identification and authentication of such person and the updating information about the reporting entity entered into the unified information system in accordance with the requirements of the Law.

The user is responsible for the accuracy of the information provided during the electronic identification.

After the electronic identification of the person, the reporting entity has the right to access the private part (a personal cabinet) of e-cabinet, which is an individual personalized web page of the user.

2. Individuals and legal entities that have free access to the Internet shall have access to the open (public) part of e-cabinet. Such access is provided without the use of electronic trust services.

Access to the personal cabinet is provided to users after passing electronic identification using an integrated electronic identification system and in accordance with the requirements of the Law of Ukraine “On Electronic Trust Services”, Procedure for Using Electronic Trust Services in Public Authorities, Local Self-Government Bodies, Enterprises, Institutions and Organizations of the State Ownership, approved by Resolution of the Cabinet of Ministers of Ukraine of September 19, 2018 No. 749.

3. The open (public) part of e-cabinet provides the possibility for the user to receive information that is open in accordance with the law and is subject to disclosure.

The personal cabinet provides information interaction on the provision by the reporting entity of information related to the implementation of financial monitoring to the SFMS and the receipt by the reporting entities of requests, decisions, instructions and other information from the SFMS in accordance with the Law. Notifications submitted by the reporting entity, letters are displayed in the personal cabinet and downloaded to the information resources of the unified information system.

4. Based on the results of successful electronic identification and authentication, the reporting entity shall have access to:

notifications (electronic documents) and their completion templates;
formation and submission of notifications (electronic documents in XML format) through a personal cabinet with recording the date and time of submission of such notifications;

stored and submitted notifications in the automated system of the reporting entity (in XML and/or PDF format);
the results of automated processing of notifications (electronic documents) submitted by the reporting entity with automatic fixation of the time of sending and time of receipt, integrity and authenticity of electronic documents;
information on the notifications submitted by it and notifications on the results of their processing;
notifications from the SFMS through a personal cabinet with recording the date and time of receipt of such notifications to the reporting entity;
visualization of submitted/received notifications (electronic documents);
submission of notifications (electronic documents) through the application programming interface (API).

III. Functioning of e-cabinet

1. The reporting entity for submission of notifications in accordance with the Law using the templates of the web interface of the personal cabinet enters information into the relevant sections (structures) and details of the notifications. After completing the filling of notifications templates by means of e-cabinet, the automatic control of notifications takes place. In case of successful passing of control, the reporting entity is given an opportunity to sign the notification with QES. When signing the notification, the e-cabinet forms a qualified time stamp for this notification and automatically ensures the registration of such notification in the unified information system in the manner prescribed by law.
2. The reporting entity for submission of notifications in accordance with the Law using specialized software of the entity establishes a connection with the API of e-cabinet and transmits to e-cabinet generated and signed by QES notifications. Regarding the transmitted notifications, the unified information system automatically controls the notifications. Based on the results of the control, the unified information system generates a receipt file with the results of their processing. When signing the notification (receipt file), e-cabinet forms a qualified time stamp for this notification. In case if the control is successfully passed the unified information system ensures registration of such notification in the manner prescribed by law.

IV. Processing and elimination of errors in the work of e-cabinet

1. In case of errors detection in the work of e-cabinet, the user through the private part submits to the SFMS a notification about the error that occurred during operation in the information and telecommunications system “financial monitoring system e-cabinet”, in the form according to Annex 1 to this Procedure.
2. The SFMS is obliged to check the existence of an error within three working days after receiving such a notification from the user. Based on the results of processing the notification, the user is sent a notification on the results of error processing that occurred while working in the information and telecommunications system “the financial monitoring system e-cabinet”, in the form according to Annex 2 to this Procedure, which proves or refutes existence of a corresponding error.
If the SFMS recognizes the existence of an error, it is obliged to eliminate it within the period determined by it, taking into account the criticality of the detected error

and the technical feasibility of its elimination. If the error leads to a violation of the rights of the reporting entity or provides for its prosecution, the SFMS sends to e-cabinet and e-mail address(es) of the reporting entity a document notifying the existence of the error and the time required to eliminate it and restore the violated address(es) of the reporting entity.

3. Reporting entities have the right to view the log of events taking place in the personal cabinet, including, in particular, recording the date and time of dispatch, receiving documents through e-cabinet and any changes in the data available in e-cabinet.

**Director of Coordination and Monitoring
Work Department**

Yurii KONIUSHENKO

Annex 1
to Procedure for Creating a Personal
Cabinet of the Reporting Entities and
Access to the Financial Monitoring
System E-Cabinet
(clause 1 Section IV)

NOTIFICATION

on an error that occurred while working in the information and telecommunication
system “the financial monitoring system e-cabinet”

User*	

	(registration data)

	(name or surname, first name, patronymic name (if any))
Error descriptio n	

	(error description)
Screensh ot file with error	

(screenshot file with error)	

All fields are mandatory.

* Fields are filled in automatically for an authorized user

Annex 2
 Procedure for Creating a Personal Cabinet
 of the Reporting Entities and Access to the
 Financial Monitoring System E-Cabinet
 (clause 2 Section IV)

NOTIFICATION

on the results of error processing that occurred while working in the information
 and telecommunications system “the financial monitoring system e-cabinet”

Document *	<div style="border: 1px solid black; padding: 5px; text-align: center;"> _____ (name of the document) </div> <div style="border: 1px solid black; padding: 5px; display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%; text-align: center;"> _____ (date and time of the document receipt) </div> <div style="width: 35%; text-align: center;"> _____ (document number) </div> </div>
Use r	<div style="border: 1px solid black; padding: 5px; text-align: center;"> _____ (registration data) </div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;"> _____ (name or surname, first name, patronymic name (if any)) </div>
Error descriptio n	<div style="border: 1px solid black; padding: 5px; text-align: center;"> _____ (error description) </div>
Processin g result**	<div style="border: 1px solid black; padding: 5px; text-align: center;"> _____ (information on the presence/ absence/elimination of the error) </div>
Error elimination deadline***	<div style="border: 1px solid black; padding: 5px; text-align: center;"> _____ (error elimination deadline) </div>

Qualified electronic seal of the SFMS	
	_____ (sender information)

All fields are mandatory.

* Fields are filled in automatically on the basis of the data of the Notification on an error that occurred while working in the information and telecommunication system “the financial monitoring system e-cabinet”.

** The field is filled in from the drop-down list:

on confirmation of the existence of an error;

on the absence of an error;

on elimination of an error – the notification is sent to the reporting entity based on the results of the error correction (after sending the notification on the confirmation of the error) within the period determined taking into account the criticality of the detected error and the technical feasibility of its elimination.

*** The field is filled in case of sending a notification confirming the error.