



## MINISTRY OF FINANCE OF UKRAINE

### ORDER

27.10.2020

No. 637

Registered with the Ministry of  
Justice of Ukraine on December 28,  
2020 under No. 1298/35581

#### **On approval of Procedure for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine**

According to clauses 11, 12 and 14 of part two of Article 8 of 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”, in order to determine the procedure for coordination by reporting entities with the State Financial Monitoring Service of Ukraine of the deadlines for submission of the requested information, **I ORDER:**

1. To approve Procedure for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine (hereinafter – Procedure), attached.

2. To recognise invalid Order of the Ministry of Finance of Ukraine of July 8, 2015 No. 628 “On Approving the Procedure for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine”, registered with the Ministry of Justice of Ukraine on July 27, 2015 under No. 900/27345.

3. Coordination and Monitoring Work Department of the Ministry of Finance of Ukraine together with Department for Financial Investigations of the State Financial Monitoring Service of Ukraine shall ensure in the manner prescribed by the legislation:

submission of this order for state registration to the Ministry of Justice of Ukraine;

promulgation of this order.

4. This order shall enter into force on the day of its official publication.

5. Control over the execution of this order shall reside with First Deputy Minister of Finance of Ukraine D. Uliutin and Deputy Head of the State Financial Monitoring Service of Ukraine V. Zubriy.

**Minister**

**S. Marchenko**

**AGREED:**

**Deputy Minister of Digital Transformation  
of Ukraine**

**O. Borniakov**

**Deputy Managing Director of the Deposit  
Guarantee Fund for Individuals**

**N. Rudukha**

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

**I. Cherkaskyi**

**Head of the National Bank of Ukraine**

**K. Shevchenko**

**Minister for Development of Economy,  
Trade and Agriculture of Ukraine**

**I. Petrashko**

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

**O. Miroshnichenko**

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

**T. Khromaev**

APPROVED

Order of the Ministry of Finance of  
Ukraine of October 27, 2020 No. 637

## **PROCEDURE**

**for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine**

### **I. General provisions**

1. This Procedure is developed for the implementation of clauses 11, 12 and 14 of part 2 of Article 8 of the Law of Ukraine “On preventing and counteracting to legalization (laundering) of the proceeds from crime, financing of terrorism and financing of proliferation of weapons of mass destruction” (hereinafter – the Law), establishes the procedure for approving by reporting entities, except for specially designated (hereinafter – the entity), with the State Financial Monitoring Service of Ukraine of the deadlines for submission of the requested information in case of impossibility to ensure by the entities the adherence to the deadlines established by clauses 11, 12 of part 2 of Article 8 of the Law, for objective causes. In case of conducting of procedure of liquidation of the entity, including recognition of its bankruptcy, or appointment of temporary administration, the right (function) in terms of approving by the entities with the SFMS of the terms of submission of the requested information has (performs) the liquidator, authorized person of the Individuals Deposit Guarantee Fund.

2. In this Procedure the terms shall have the following meaning:

application – an electronic (data set of a certain structure) or paper document on increasing the deadline for submission of the requested information;

objective causes – circumstances that do not allow entities to ensure compliance with the deadlines set by Law for the submission of information at the request of the SFMS, namely: significant amount of the requested information, the need to copy or scan a large number of documents, obtaining data from archives, providing information in paper form, etc.;

notification on consideration of the application – an electronic (data set of a certain structure) or paper document on bringing the results of consideration of the application by the SFMS to the entity.

Other terms shall be used in the meanings given in the Law.

### **II. Procedure for submission by the entity to the SFMS of applications on extension of the deadlines for submission of the requested information**

1. If the entity is not able to ensure compliance, for objective causes, with the deadlines established by clauses 11, 12 of part two of Article 8 of the Law (excluding

subclause “a” of clause 11 of part two of Article 8 of the Law), it shall submit the application to the SFMS.

The entity shall submit an application to the SFMS no later than the next working day from the date of receipt by the entity of the SFMS’s request for information (hereinafter – the request).

2. The application shall contain the following information:

1) number and date of the request (registration with the SFMS) and the date of its receipt by the entity;

2) details of the entity – full name; identification code according to Unified Register; last name, first name, patronymic (if any) of an individual entrepreneur, an individual who carries out independent professional activity, taxpayer identification number of Ukraine (or identification number according to the State Register of Individuals – Payers of Taxes and Other Obligatory Payments) or number (and if available – series) of the passport of a citizen of Ukraine, which is marked with a refusal to accept the taxpayer identification number of Ukraine or passport number with a record of refusal to accept the taxpayer identification number of Ukraine in electronic contactless media;

3) information on the objective causes for the need to extend the deadline for submission of information (the number of financial transactions to be provided, the amount of information that requires copying or scanning a significant number of documents, obtaining data from archives, submitting information in paper form, etc);

4) terms necessary for the preparation of information;

5) position, surname, name, patronymic (if any) of the person signing the application;

6) telephone number.

3. When accepting applications for consideration, they shall be checked for compliance with the established format and structure, as well as for the correctness of filling in the required fields specified in clause 2 of this section.

Applications where notifications on the absence of errors have been generated shall be considered accepted for consideration.

Following the results of the verification of the information, contained in the application, the relevant notification shall be sent to the entity.

### **III. Procedure for consideration by the SFMS of applications for extension of deadlines for the submission of the requested information**

1. The SFMS shall consider applications and make decisions based on the results of consideration of these applications no later than the second working day from the date of receipt of the request by the entity.

An application received no later than the next working day from the date of receipt by the entity of the request, formed in accordance with subclause "b" of clause 11 of

part two and clause 12 of part two of Article 8 of the Law, shall be accepted for consideration.

The SFMS shall refuse to consider the application in essence and send the entity the relevant notification of consideration of the application if:

the application was received after the end of the next working day from the date of receipt of the request to the entity;

the request to the entity on the basis of which the application was received has been developed in accordance with subclause "a" of clause 11 of part two of Article 8 of the Law.

2. The SFMS shall agree the extension of the deadlines required for the entity to submit information under the request based on the results of the analysis of the objective causes indicated in the entity's application and taking into account the urgency of obtaining such information to ensure quality and timely performance of tasks and functions of the SFMS.

3. Based on the results of consideration of applications, the SFMS shall make a decision and send a notice following the consideration of the application to the entity, which indicates the results of the decision made by the SFMS to agree the deadlines for submission of the requested information.

The specified notification on consideration of the application shall be sent to the entity on the day of the decision, but not later than the second working day from the date of receipt of the request by the entity.

#### **IV. Exchange of information between the SFMS and reporting entities**

1. Addresses for submitting information in electronic form and the structure of information exchange files shall be determined by the Ministry of Finance of Ukraine.

2. The entity sends the application to the SFMS in electronic form.

The date and time of receipt of the application by the SFMS is the date and time of receipt of the application at the address of the SFMS.

For entities – banks for the purposes of this Procedure under the date and time of receipt by the SFMS of the relevant file (application), sent by the entity – bank by means of CWS-Informatsiynyi, shall be understood the date and time of delivery of such a file by the Automated Transport System of the National Bank to the incoming queue of the SFMS.

In case of situations that lead to the impossibility to submit an application to the SFMS in electronic form, the application shall be submitted in paper form by registered letter with acknowledgment of receipt or by courier or mail communication.

The date and time of receipt of the application from the entity shall be the mark of the SFMS on the time and date of its receipt.

As an exception, the application may be sent by facsimile, with subsequent sending to the SFMS of the original application.

The date and time of receipt of the application by the SFMS by fax shall be the date and time indicated in the report on sending the fax.

A sample of the application for extending the deadline for submission of the requested information for submission in paper form is given in Annex 1 to this Procedure.

3. The SFMS sends a notification of consideration of the application to the entities in electronic form.

The date and time of receipt of the notification of consideration of the application shall be deemed the date and time of receipt of the notification of consideration of the application to the address of the entity.

For entities – banks for the purposes of this Procedure under the date and time of receipt to the entity – bank of the corresponding file (notification on consideration of the application) sent by the SFMS by means of CWS-Informatsiynyi, shall be understood the date and time of delivery of such a file by the Automated Transport System of the National Bank to the incoming queue of this entity – the bank.

In case of situations that lead to the impossibility of sending by the SFMS to the entities of the relevant notification of consideration of the application in electronic form, the relevant notification shall be sent in paper form by registered letter with acknowledgment of receipt or by courier or mail communication.

The date and time of receipt of the relevant notification of consideration of the application by the entity shall be deemed the mark of the entity on the time and date of its receipt.

As an exception, the notice of consideration of the application may be sent by fax, to the number specified in the application, followed by sending it by registered letter with acknowledgment of receipt.

The date and time of receipt of the notice of review shall be deemed the date and time specified in the fax report.

A sample notice of consideration of the application for extension of the deadline for submission of the requested information for submission in paper form is provided in Annex 2 to this Procedure.

**Director of Coordination and  
Monitoring Work Department**

**Yu. Koniushenko**

Annex 1  
to Procedure for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine  
(clause 2 of Section IV)

**Template  
of the application for extension of the deadline for submission of the requested information**

<b>Request information</b>	request number for additional information (registration in the SFMS)	
	request date	
	the date of receipt of the request by the subject	
<b>Information about reporting entity</b>	full name, patronymic (if any) of a natural person - entrepreneur, natural person who carries out independent professional activity	
	identification code under USREOU, taxpayer identification number of Ukraine (or identification number according to the State Register of Individuals – Payers of Taxes and Other Obligatory Payments) or number (and if available – series) of the passport of a citizen of Ukraine, which is marked with a refusal to accept the taxpayer identification number of Ukraine or passport number with a record of refusal to accept the taxpayer identification number of Ukraine in electronic contactless media	
<b>Information on filling in the application</b>	information on the objective causes for the need to extend the deadline for submitting requested information (the number of financial transactions to be answered, the amount of information that requires the need to copy or scan a large number of documents, obtaining data from archives, submitting information in paper form, etc. )	
	deadlines required to prepare requested information	

	position, surname, name, patronymic (if any) of the person signing the application	
	phone number	



Annex 2  
to Procedure for coordination by reporting entities of the deadlines for submission of the requested information with the State Financial Monitoring Service of Ukraine  
(clause 3 of Section IV)

**Template  
of the notice of consideration of the application for extension of the deadline  
for submission of the requested information**

<b>Request information</b>	request number for additional information (registration in the SFMS)	
	request date	
<b>Information on the reporting entity</b>	full name/surname, name, patronymic (if any) of a natural person - entrepreneur, natural person who carries out independent professional activity	
	Identification code USREOU, identification code under USREOU, taxpayer identification number of Ukraine (or identification number according to the State Register of Individuals – Payers of Taxes and Other Obligatory Payments) or number (and if available – series) of the passport of a citizen of Ukraine, which is marked with a refusal to accept the taxpayer identification number of Ukraine or passport number with a record of refusal to accept the taxpayer identification number of Ukraine in electronic contactless media	
<b>The decision made by the SFMS</b>	<b>Agreed (*)/refused to consider the application in essence (**)</b>	
	* date of decision	
	the number of additional business days agreed to fulfil the request	
	the deadline for the request fulfilment	

**	the application was received after the end of the next day from the date of receipt of the request to the entity	
	the request to the entity on the basis of which the application was received, was formed in accordance with subclause "a" of clause 11 of part two of Article 8 of the Law	