



## MINISTRY OF FINANCE OF UKRAINE

### ORDER

May 5, 2016

Kyiv

No. 475

Registered with the Ministry of Justice of Ukraine  
on May 26, 2016 under No. 772/28902

#### **On Approving the Procedure for Informing the Primary Financial Monitoring Subjects of the List of Persons related to Terrorist Activities or Subjected to International Sanctions, and Instruction on Adding Information to the List**

Pursuant to the requirements of Part 8, Article 17 of the Law of Ukraine “On Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction” and Clause 4 of the Procedure for Composing of the List of Persons Related to Terrorist Activities or Subjected to International Sanctions approved by the Cabinet of Ministers of Ukraine Resolution of November 25, 2015, No. 966, with the aim of identifying the procedure for informing primary financial monitoring subjects of the list of persons related to terrorist activities or subjected to international sanctions,

#### **I HEREBY ORDER:**

1. Approve the attached Procedure for Informing the Primary Financial Monitoring Subjects of the List of Persons related to Terrorist Activities or Subjected to International Sanctions.

2. Approve the attached Instruction on Adding Information to the List of Persons Related to Terrorist Activities or Subjected to International Sanctions.

3. Declare null and void the Ministry of Finance of Ukraine Order of December 4, 2012, No. 1272 “On Approving the Procedure for Informing the Primary Financial Monitoring Subjects of the List of Persons related to Terrorist Activities or Subjected to International Sanctions” registered with the Ministry of Justice of Ukraine on January 31, 2013 under No. 192/22724.

4. The Department of Tax, Customs Policy, and Accounting Methodology of the Ministry of Finance of Ukraine (Romanyuk Yu.P.) and the Financial Investigation Department of the State Financial Monitoring Service of Ukraine (Khylyuk V.P.) shall duly ensure:

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

publication of this order.

5. This order shall become effective on the day of its official publication.

6. Control of this order implementation shall be imposed on the Deputy Minister of Finance of Ukraine, Makeyeva O.L., and the Deputy Head of the State Financial Monitoring Service of Ukraine, Zubriy V.P.

**Minister**

**O. Danyliuk**

APPROVED

Ministry of Finance of Ukraine Order  
May 5, 2016, No. 475

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Ukraine

May 26, 2016  
under No. 772/28902

### **PROCEDURE**

#### **for Informing the Primary Financial Monitoring Subjects of the List of Persons related to Terrorist Activities or Subjected to International Sanction**

1. This Procedure, developed to implement Part 8, Article 17 of the Law of Ukraine “On Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction” and Clause 4 of the Procedure for Composing of the List of Persons Related to Terrorist Activities or Subjected to International Sanctions approved by the Cabinet of Ministers of Ukraine Resolution of November 25, 2015, No. 966, identifies the procedure for informing the primary financial monitoring subjects of the list of persons related to terrorist activities or subjected to international sanctions (hereinafter “the List of Persons”).

2. The List of Persons (changes thereto) shall be developed and approved by the State Financial Monitoring Service of Ukraine within three work days of the date of receiving data (documents) and information stipulated in Clauses 2 and 3 of the Procedure for Composing of the List of Persons Related to Terrorist Activities or Subjected to International Sanctions approved by the Cabinet of Ministers of Ukraine Resolution of November 25, No. 966.

3. The State Financial Monitoring Service of Ukraine shall make the List of Persons (changes thereto) known to the primary financial monitoring subjects by

posting it on the official State Financial Monitoring Service of Ukraine web-site in the XML and PDF formats using the structure and the details specified in the Instruction on Adding Information to the List of Persons Related to Terrorist Activities or Subjected to International Sanctions approved by the Ministry of Finance of Ukraine Order of May 5, 2016, No. 475.

4. The List of Persons (changes thereto, List of Persons with changes thereto as of the current date) shall be posted on the State Financial Monitoring Service of Ukraine web-site no later than the next work day of its approval and supported with a relevant notification in the news section of the web-site.

5. For purposes of financial monitoring, the primary financial monitoring subject shall download the List of Persons (changes thereto, List of Persons with changes thereto as of the current date) from the official State Financial Monitoring Service of Ukraine web-site.

**Director of the Department of Tax,  
Customs Policy, and Accounting  
Methodology**

**Yu.P. Romanyuk**

APPROVED

Ministry of Finance of Ukraine Order  
May 5, 2016, No. 475

Registered with the Ministry of Justice of  
Ukraine

on May 26, 2016  
under No. 773/28903

## INSTRUCTION

### on Adding Information to the List of Persons Related to Terrorist Activities or Subjected to International Sanctions

1. The list of persons related to terrorist activities or subjected to international sanctions (hereinafter “the List of Persons”) is a set of entries on individual organizations, legal entities or natural persons which can have several names. The key detail for indexing a person in the List of Persons is the entry number.

2. The list of persons contains the following information:

Detail code	Detail name	Requirements for detail forming
C1	Person number in the List of Persons	The entry is assigned one number using continuous numbering in the List of Persons. The same number cannot be assigned to another person after excluding a person, to which this number was assigned earlier, from the List of Persons. Mandatory field
C2	Date of adding (removing) a person to/from the List of Persons or entry modification date	State the date when the State Financial Monitoring Service of Ukraine added (removed) the person to/from the List of Persons or entry modification date. Mandatory field
C3	Type of entry	Indicate the type of entry (new entry, modified entry)
C4	Type of person	Indicate a natural person, organization, or legal entity
C5	Source, according to which the person was added (removed) to/from	Indicate the corresponding source based on which the person was added (removed) to/from the List of Persons pursuant to Clauses 2 and 7 of the Procedure for Composing of the List of

	the List of Persons or the entry was modified	Persons Related to Terrorist Activities or Subjected to International Sanctions approved by the Cabinet of Ministers of Ukraine Resolution of November 25, No. 966
C6 - C9	Name of person / name of organization and legal entity	<p>For natural persons mandatorily indicate:  for a resident – surname, first name, patronymic;  for a non-resident – names entered in the order specified in the document used as the basis for adding the information to the List of Persons: first name – in the first field, middle name – in the second field, etc. In foreign names “abu-”, “al-”, “abd-”, etc., hyphenated particles, abbreviations are not separate names and shall be entered in the field together with another name.</p> <p>2. For organizations and legal entities indicate full name in accordance with the document used as the basis for adding the information to the List of Persons. If there are several names or spelling variations, indicate all of these names or spelling variations. Mandatory field.</p> <p>In C6 indicate resident's surname / non-resident's Name 1, legal entity name, in C7 – resident's first name / non-resident's Name 2 (if applicable), in C8 – resident's patronymic / non-resident's Name 3 (if applicable), in C9 – non-resident's Name 4 (if applicable).</p> <p>3. For citizens of Ukraine registered as individual entrepreneurs indicate the surname, first name, and patronymic</p>
C10	Note on the possible spelling variation of the name, pseudonym, etc.	<p>For natural persons indicate the name; mandatory for each variation. Use the following values:</p> <p>N – main name as in the document used as the basis for adding the information to the List of Persons;</p> <p>NE – spelling variation of the main name in English (same-sounding name with a spelling variation);</p> <p>NU – spelling variation of the main name in Ukrainian (main name in Cyrillic);</p> <p>PE – pseudonym in English (another name or its spelling variations that do not sound the same as</p>

		<p>the main name);          PU – pseudonym in Ukrainian (other names in Cyrillic);          K – alias (person's designation which is not his/her name).          2. For organizations or legal entities mandatory for each name-spelling variation. Use the following values:          N – main name as in the document used as the basis for adding the information to the List of Persons;          NE – spelling variation of the main name in English (same-sounding name with a spelling variation);          NU – spelling variation of the main name in Ukrainian (main name in Cyrillic);          PE – other names in English (other names or their spelling variations that do not sound the same as the main name);          PU – another name in Ukrainian (another name in Cyrillic). Mandatory field</p>
C11	Pseudonym category	Indicate person's pseudonym designations (a.k.a. – also known as, f.k.a. – formerly known as, n.k.a. – now known as)
C12	Pseudonym quality	Pseudonym applicability for identification (1 – high, 2 – low)
C13	Date of birth / date of registration of the legal entity or organization	Indicate information if available. If the exact date is not known, indicate information on the tentative date of birth / registration of the legal entity or organization
C14	Date and place of birth / location of the legal entity or organization	Indicate information if available
C15	Nationality	Indicate information if available
C16	Nationality	Indicate information if available
C17	Position	Indicate the last known or current position. Indicate information if available
C18	Line of activity	Indicate known professional training, qualification, social or another status. Indicate information if available

C19	Honorary, professional, religious, and other titles	Indicate known honorary, professional, religious, and other titles Indicate information if available
C20	Passport (or another identification document) series and number	Indicate the passport or another identification document series and number. Indicate information if available
C21	Passport or another identification document Issuance date.	Indicate the passport or another identification document issuance date. Indicate information if available
C22	Country which issued the passport or another identification document	Indicate the country which issued the passport or another identification document. Indicate information if available. Indicate the country according to the Classification of World Countries approved by the State Statistics Service of Ukraine Order of December 30, 2013, No. 426
C23	Country which issued passport (code)	Indicate the country digital code according to the Classification of World Countries approved by the State Statistics Service of Ukraine Order of December 30, 2013, No. 426
C24	Name of the document issuing authority	Indicate the name of the authority which issued the passport or another identification document
C25	Taxpayer's account card registration number or Ukraine citizen's passport series and number (for persons who on religious grounds refuse to accept a taxpayer's account card registration number and informed the relevant government tax authority, and have a stamp in their passport) / Unified	<p>1. For natural persons indicate:  for residents – taxpayer's account card registration number as in the State Register of Individual Taxpayers or Ukraine citizen's passport series and number (for persons who on religious grounds refuse to accept a taxpayer's account card registration number and informed the relevant government tax authority, and have a stamp in their passport);  for non-residents – taxpayer's account card registration number or identification number according to the national legislation (if available).</p> <p>2. For legal entities indicate:  for residents – Unified State Register of Enterprises and Organizations of Ukraine</p>

	State Register of Enterprises and Organizations of Ukraine (EDRPOU) code / identification number	(EDRPOU) code; for non-residents – identification number according to the national legislation (if available)
C26 – C33	Place of residence	Indicate the person's known place of residence or stay. Indicate the information if available on separate fields. In C27 indicate the country code according to the Classification of World Countries approved by the State Statistics Service of Ukraine Order of December 30, 2013, No. 426. In C26 indicate the name of the country, in C28 – postal code, in C29 – name of the region (state, province), in C30 – name of the city, in C31 – street name, in C32 – building number, in C33 – office number
C34	Address (non-structured)	Indicate the address which does not meet common address norms
C35	Note on the court verdict (decision)	Indicate the date of the court verdict (decision), for residents – the Criminal Code of Ukraine article under which the person was convicted, information whether the person is in penitentiary on the date of adding data to the List of Persons
C36	Note on the person wanted locally and/or internationally	Indicate whether the person is wanted locally or internationally. If wanted locally, indicate the country where the person is wanted
C37	Additional information	Indicate any additional information, including on international sanctions applied (agency that applied the sanctions, when the sanctions were applied, grounds for applying the sanctions). For individual entrepreneurs indicate (if available) details of the transcript or extract from the Unified State Register of Legal Entities, Individual Entrepreneurs, and NGOs, name of the issuing authority. For resident legal entities indicate (if available) details of the transcript or extract from the Unified State Register of Legal Entities, Individual Entrepreneurs, and NGOs, name of



		the issuing authority, and Unified State Register of Enterprises and Organizations of Ukraine (EDRPOU) code
C38	Updating the entry	This field is for the information on changes in the values of individual fields or removing values with indication of the date of such changes. The information is mandatory if individual field values change
C39	Note on removal from the List of Persons	In the case of receiving information (documents) which is the basis for removing an organization, legal entity, or natural person from the List of Persons, in the field indicate the date of person removal from the List of Persons by the State Financial Monitoring Service of Ukraine. Indicate information if available
C40	Information on the bank, in which the account was opened	Indicate bank details (name, MFO or BIC code, location, etc.) where the person has (opened) an account
C41	Bank account number	Indicate the number of the bank account opened by the person

3. Considering that the persons in the List of Persons can have several names, their spelling variations, passport data, birth dates, addresses, a separate entry on such a person may have more than one line. For each person several fields with the same name can be filled (for example, several birth dates).

4. If the State Financial Monitoring Service of Ukraine removes an organization, legal entity, or natural person from the List of Persons, the entries on such persons shall be deleted from the List of Persons.

**Director of the Department of Tax,  
Customs Policy, and Accounting  
Methodology**

**Yu.P. Romanyuk**