MINISTRY OF FINANCE OF UKRAINE

ORDER

November 24, 2015	**Kyiv**	**No. 1085**

Registered with the Ministry of Justice of Ukraine on December 18, 2015   under No. 1593/28038

On Approving the Procedure for Electronic Interaction of the Primary Financial Monitoring Subjects and the State Financial Monitoring Service of Ukraine

Pursuant to Part 1, Article 12, Article 13 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", Provision on the Ministry of Finance of Ukraine approved by the Cabinet of Ministers of Ukraine Resolution of August 20, 2014, No. 375, Provision on the State Financial Monitoring Service of Ukraine approved by the Cabinet of Ministers of Ukraine of July 29, 2015, No. 537, and to identify formats of electronic interaction between the primary financial monitoring subjects and the State Financial Monitoring Service of Ukraine

I HEREBY ORDER:

1. Approve the attached Procedure for Electronic Interaction of the Primary Financial Monitoring Subjects and the State Financial Monitoring Service of Ukraine.

2. Declare null and void the Ministry of Finance of Ukraine Order of April 1, 2013, No. 436 "On Approving the Procedure for Electronic Interaction of the Primary Financial Monitoring Subjects and the State Financial Monitoring Service of Ukraine" registered with the Ministry of Justice of Ukraine on April 19, 2013 under No. 649/23181.

3. The Department of Tax, Customs Policy, and Accounting Methodology of the Ministry of Finance of Ukraine (Chmeruk M.O.) together with the Department of Information Technologies of the State Financial Monitoring Service of Ukraine (Davydyuk V.S.) shall duly ensure:

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

publication of this order.

4. This order shall become effective 30 days after its official publication.

5. 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	**N. Jaresko**
CONCURRED:	
First Deputy Head of the National Bank of Ukraine	**O.V. Pysaruk**
Minister of Economic Development and Trade of Ukraine	**A. Abromavičius**
Minister of Infrastructure of Ukraine	**A. Pyvovarskyi**
Head of the National Securities and Stock Market Commission	**T.Z. Khromayev**
Head of the State Commission for Regulation of Financial Services Markets of Ukraine	**I. Pashko**
Acting Head of the State Financial Monitoring Service of Ukraine	**A.T. Kovalchuk**
Head of the State Communications and Data Protection Service of Ukraine	**L.O. Yevdochenko**
Acting Head of the State Regulatory Service of Ukraine	**O.M. Miroshnychenko**

PROCEDURE
for Electronic Interaction of the Primary Financial Monitoring Subjects and the State Financial Monitoring Service of Ukraine

I. General provisions

1. This Procedure determines a mechanism of interaction between the primary financial monitoring subjects (hereinafter "the PFMS") and the State Financial Monitoring Service of Ukraine (hereinafter "the SFMSU"), as well as requirements for and formats of reports for electronic information exchange on financial monitoring.

2. The electronic information interaction between the PFMS and the SFMSU shall be done pursuant to the Laws of Ukraine:

"On Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction"

"On Electronic Documents and Electronic Document Management"

"On Electronic Digital Signature"

"On Security of Information in Data Telecommunications Systems"

"On Banks and Bank Activity"

II. Information Exchange Files

1. The following types of information (types of information exchange files) are used for information interaction between the State Financial Monitoring Service of Ukraine and the primary financial monitoring subjects:

report file on financial transactions – an electronic document (data array of a certain structure) formed by the primary financial monitoring subjects and submitted to the State Financial Monitoring Service of Ukraine with information on financial transactions (hereinafter "the FT"). One report file may contain information on several financial transactions;

report file on financial transaction information registration (refusal of registration) – an electronic document (data array of a certain structure) formed by the State Financial Monitoring Service of Ukraine and submitted to the primary financial monitoring subjects with information on processing of the financial transaction information and its registration (refusal of registration);

report file on the primary financial monitoring subject – an electronic document (data array of a certain structure) formed by the State Financial Monitoring Service of Ukraine with information on a primary financial monitoring subject (separated divisions), primary financial monitoring subject's responsible persons required to register primary financial monitoring subjects, unregister primary financial monitoring subjects, and make changes to the information on the primary financial monitoring subjects in the Unified Information System;

report file on the results of processing subject information – an electronic document (data array of a certain structure) formed by the State Financial Monitoring Service of Ukraine and submitted to the primary financial monitoring subjects with information on processing of the data about the primary financial monitoring subjects, their separated divisions, and responsible persons;

request file – an electronic document (data array of a certain structure) formed by the State Financial Monitoring Service of Ukraine and submitted to the primary financial monitoring subject with a request for information (copies of documents) required for the State Financial Monitoring Service of Ukraine to implement the tasks imposed thereon. One request file may contain several requests;

response file – an electronic document (data array of a certain structure) formed by the primary financial monitoring subject and submitted to the State Financial Monitoring Service of Ukraine with a response to the State Financial Monitoring Service of Ukraine request. A response file may contain several responses to requests;

attachment file – an electronic document (data array of a certain structure) formed by the primary financial monitoring subject and submitted to the State Financial Monitoring Service of Ukraine as an

attachment to a financial transaction report or to a response to the request containing additional data and/or copies of documents;

decision file – an electronic document (data array of a certain structure) formed by the State Financial Monitoring Service of Ukraine and submitted to the primary financial monitoring subject with information on the State Financial Monitoring Service of Ukraine decision (instruction) or request for monitoring of financial transactions;

confirmation file – an electronic document (data array of a certain structure) with information on the results of processing of a relevant file and/or information contained therein;

letter file – an electronic document (data array) used for information exchange between the State Financial Monitoring Service of Ukraine and the primary financial monitoring subject on other issues;

technological file – a electronic file formed by the "Automatic Workstation-NBU-Informational" based on the rejected information exchange file;

test file – an electronic file which has a data array and structure of corresponding types of information exchange files. A test file is not an electronic document, and the information provided in this file is not official and not registered by the State Financial Monitoring Service of Ukraine.

2. The information exchange files shall be sent between the primary financial monitoring subject and the State Financial Monitoring Service of Ukraine in the form of transport files – digital envelopes (hereinafter "the TF") – encrypted to the recipient's address.

3. The maximum size of one transport file cannot exceed 10 MB.

4. If there is a need to transfer additional information of larger size, it should be compressed by software means which support the formats shown in Attachment 1 to this Procedure, and, if required, divided by these means into parts, the size of which cannot exceed 10 MB, and submitted to the State Financial Monitoring Service of Ukraine as separate transport files.

III. File Naming Rules

1. A file name shall be formed in a hexatridecimal (base 36) numeral system taking into account the identification data on the primary financial monitoring subject or a separated division thereof, type of information, and date of its forming.

2. For the primary financial monitoring subjects that are banks, separated divisions of banks, payment organizations and members/participants of payment systems that are banks, foreign bank branches (hereinafter "banks"), the file names used in the information exchange shall have the following structure:

Xt0RxxMD.Ynn,

where X	–	indicator showing belonging of the financial monitoring file to banks;
t	–	file type according to the Information Exchange File Type Guide provided in Attachment 2 to this Procedure;
0	–	constant (except for confirmation files);
Rxx	–	bank identifier, where: R – identifier of an administrative-territorial unit of Ukraine, where the bank is located, xx – unique bank identifier within this administrative-territorial unit of Ukraine. Rxx matches the last three bytes of the electronic bank identifier in the National Bank of Ukraine (hereinafter "the National Bank") email;
M	–	month of file formation in the hexatridecimal (base 36) numeral system;
D	–	day of file formation in the hexatridecimal (base 36) numeral system;
Y	–	year of file formation (the last digit of the year is indicated);
nn	–	ordinal number of the file of a specific type throughout the day.

Files are numbered starting with 1.

The confirmation file name is formed of the name of the file that is being confirmed by replacing the "file type" symbol with the corresponding confirmation file type.

The technological file name is formed of the name of the file rejected in the "Automatic Workstation-NBU-Informational", thus:

the "file type" symbol acquires the value "O";

the third name symbol acquires the meaning of the rejected "file type".

3. For the primary financial monitoring subjects that are not banks, the information exchange file names shall have the following structure:

ZtXXXXXXMD.Ynn,

where Z	–	indicator showing belonging of the financial monitoring file to the primary financial monitoring subjects that are not banks;
t	–	file type according to the Information Exchange File Type Guide provided in Attachment 2 to this Procedure;
XXXXXX	–	account identifier assigned to the information included in the Unified Information System on registration of a primary financial monitoring subject;
M	–	month of file formation in the hexatridecimal (base 36) numeral system;
D	–	day of file formation in the hexatridecimal (base 36) numeral system;
Y	–	year of file formation (the last digit of the year is indicated);
nn	–	ordinal number of the file of a specific type throughout the day.

Files are numbered starting with 1.

The confirmation file name is formed of the name of the transport file that is being confirmed by replacing the "file type" symbol with the corresponding confirmation file type.

IV. Formats of Information Messages and Information Message Data Types

1. Information messages shall be formed in the XML standard.

2. The description and composition of the information message details is provided in Attachment 3 to this Procedure.

3. For purposes of information interaction between the State Financial Monitoring Service of Ukraine and the primary financial monitoring subject, the information exchange files allow the formats of letter files and attachment files (enclosures) provided in Attachment 1 to this Procedure.

4. The encoding of the values of information messages shall be in accordance with the UTF-8 standard. To identify this encoding, the first line of the information message should contain a corresponding XML directive:

<?xml version="1.0" encoding="UTF-8"?>.

5. Encoding of the information elements' values can be done only using the symbols that can be correctly resented in the Windows-1251 code page according to the list provided in Attachment 4 to this Procedure.

6. Information notifications shall meet a formalized description (dtd) according to the scheme files provided in Attachment 5 to this Procedure.

For such a (dtd) value, the second line of the information message should contain a corresponding XML directive:

<!DOCTYPE transport-file SYSTEM "Scheme file name">.

7. The scheme file name for the corresponding type of the transport file is provided in Attachment 3 to this Procedure.

8. For purposes of information interaction between the State Financial Monitoring Service of Ukraine and the primary financial monitoring subject, the information exchange files and transport files allow the following data type formats:

C	Symbol type of data. The symbols "0" to "9" are also allowed, including zeros in initial positions, such zeros being meaningful
N	Numeric unsigned type of data. Only digits "0" to "9" are allowed. Zeros in initial positions are not allowed
D (8)	Format of the "Date" type data. No spaces in this type of data are allowed. The "Date" type details have the following structure: YYYYMMDD, where: YYYY – four digits of the year; MM – number of the month (01…12); DD – day of the month (01… 31)
T (4)	Format of the "Time" type data. No spaces in this type of data are allowed. The "Time" type details have the following structure: HHMM, where:

	HH – hours (00… 23) MM – minutes (00… 59)
B	A special designation for the symbol type of data to transfer the electronic digital signature (hereinafter "the EDS") in files (symbols "0" to "9" are allowed, as well as Latin letters "A" to "F")

9. For purposes of information interaction between the State Financial Monitoring Service of Ukraine and the primary financial monitoring subject, the information exchange files shall use the Error Code Guide (Attachment 6), namely:

Error Code Guide (for electronic exchange with the subjects that are not banks) K_DFM15;

Error Code Guide (for electronic exchange with banks) K_DFM14;

V. Procedure for Transport File Delivery (Receiving/Transfer)

1. For the primary financial monitoring subjects that are banks, the information exchange with the State Financial Monitoring Service of Ukraine shall be done using the procedure and the information protection means identified by the National Bank.

2. For the primary financial monitoring subjects that are not banks, sending of the transport file shall be done using email by transferring the transport file in the form of an attachment to email messages (MIME format).

Each transport file shall be transferred in a separate email message. The email message to which the transport file is attached shall not contain any substance information and shall be ignored during processing.

3. The State Financial Monitoring Service of Ukraine shall receive emails with attached transport files at the email addresses provided in Attachment 7 to this Procedure.

4. Emails to the primary financial monitoring subject with attached transport files shall be sent to the email address stated in the primary financial monitoring subject's account form or to the return email address from which such a message came.

VI. Information Protection Requirements

1. Information exchange between the primary financial monitoring subject and the State Financial Monitoring Service of Ukraine shall be effected only through a functioning information protection system which ensures integrity, confidentiality, and authenticity of the documents.

2. The subjects of information relations shall protect information in accordance with the legal requirements for technical and cryptographic protection of information.

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

M.O. Chmeruk

Attachment 1
to the Procedure for Electronic Interaction of the
Primary Financial Monitoring Subjects and the State
Financial Monitoring Service of Ukraine
(Clause 4, Section II)

ALLOWED FORMATS
of Letter Files, Attachment Files (Enclosures)*

Format	Description
txt	used in Windows for text files
doc	MS Word text editor documents
xls	MS Excel electronic spreadsheet files
rtf	cross-platform format for saving formated text documents
jpg	full-color image saving format

tiff	image saving format (pictures, line art)
pdf	cross-platform electronic document exchange format
rar	archive structure files
arj	archive structure files
zip	archive structure files

_____

* Files of corresponding formats shall be compatible with the applications Microsoft Office 2003, Adobe Reader 6.0, WinRar 3.20.

Attachment 2
to the Procedure for Electronic Interaction of the
Primary Financial Monitoring Subjects and the
State Financial Monitoring Service of Ukraine
(Clause 2, Section III)

Exchange File Type Guide

File type	Purpose
Information exchange files	
A	report file on financial transactions
B	report file on registration (refusal of registration) of information on a financial transaction
N	report file on financial transactions that may be related to, concern or intended for financing of terrorist activities, or participants of which are persons subjected to international sanctions
P	report file on registration (refusal of registration) of financial transactions that may be related, concern or intended for financing of terrorist activities, or participants of which are persons subjected to international sanctions
U	report file on primary financial monitoring subject
V	report file on the results of processing subject information
C	request file
D	response file
E	attachment file
L	letter file
M	decision file
Receipt acknowledgment files	
Q	confirmation file for the C type file
R	confirmation file for the D type file
T	confirmation file for the E type file
W	confirmation file for the M type file
Test files	

F	for testing of the A type file
G	for testing of the B type file
H	for testing of the R type file
I	for testing of the Q type file
J	for testing of the C type file
K	for testing of the D type file

Attachment 3
to the Procedure for Electronic Interaction of the
Primary Financial Monitoring Subjects and the State
Financial Monitoring Service of Ukraine
(Clause 2, Section IV)

DESCRIPTION
and Composition of the Information Message Details

Attachment 4
to the Procedure for Electronic Interaction of
the Primary Financial Monitoring Subjects and
the State Financial Monitoring Service of
Ukraine
(Clause 5, Section IV)

LIST
of Allowed Symbols of Windows-1251 Code Page and Their Hexadecimal Codes

Symbol	Hexadecimal code
(space)	0x20
!	0x21
"	0x22
#	0x23
$	0x24
%	0x25
&	0x26
'	0x27
(	0x28
)	0x29
*	0x2A
+	0x2B
,	0x2C
-	0x2D
.	0x2E

/	0x2F
0	0x30
1	0x31
2	0x32
3	0x33
4	0x34
5	0x35
6	0x36
7	0x37
8	0x38
9	0x39
:	0x3A
;	0x3B
<	0x3C
=	0x3D
>	0x3E
?	0x3F
@	0x40
A	0x41
B	0x42
C	0x43
D	0x44
E	0x45
F	0x46
G	0x47
H	0x48
I	0x49
J	0x4A
K	0x4B
L	0x4C
M	0x4D
N	0x4E
O	0x4F

P	0x50
Q	0x51
R	0x52
S	0x53
T	0x54
U	0x55
V	0x56
W	0x57
X	0x58
Y	0x59
Z	0x5A
[	0x5B
\	0x5C
]	0x5D
^	0x5E
_	0x5F
`	0x60
a	0x61
b	0x62
c	0x63
d	0x64
e	0x65
f	0x66
g	0x67
h	0x68
i	0x69
j	0x6A
k	0x6B
l	0x6C
m	0x6D
n	0x6E
o	0x6F
p	0x70

q	0x71
r	0x72
s	0x73
t	0x74
u	0x75
v	0x76
w	0x77
x	0x78
y	0x79
z	0x7A
{	0x7B
|	0x7C
}	0x7D
‚	0x82
„	0x84
…	0x85
‹	0x8B
'	0x91
'	0x92
''	0x93
''	0x94
–	0x96
›	0x9B
Ё	0xA8
Ґ	0xA5
Є	0xAA
«	0xAB
Ї	0xAF
І	0xB2
і	0xB3
ґ	0xB4
ё	0xB8
№	0xB9

є	0xBA
»	0xBB
ї	0xBF
А	0xC0
Б	0xC1
В	0xC2
Г	0xC3
Д	0xC4
Е	0xC5
Ж	0xC6
З	0xC7
И	0xC8
Й	0xC9
К	0xCA
Л	0xCB
М	0xCC
Н	0xCD
О	0xCE
П	0xCF
Р	0xD0
С	0xD1
Т	0xD2
У	0xD3
Ф	0xD4
Х	0xD5
Ц	0xD6
Ч	0xD7
Ш	0xD8
Щ	0xD9
Ъ	0xDA
Ы	0xDB
Ь	0xDC
Э	0xDD

Ю	0xDE
Я	0xDF
а	0xE0
б	0xE1
в	0xE2
г	0xE3
д	0xE4
е	0xE5
ж	0xE6
з	0xE7
и	0xE8
й	0xE9
к	0xEA
л	0xEB
м	0xEC
н	0xED
о	0xEE
п	0xEF
р	0xF0
с	0xF1
т	0xF2
у	0xF3
ф	0xF4
х	0xF5
ц	0xF6
ч	0xF7
ш	0xF8
щ	0xF9
ъ	0xFA
ы	0xFB
ь	0xFC
э	0xFD
ю	0xFE

| я | 0xFF |
| | |