

**CENTRAL BANK OF THE RUSSIAN FEDERATION**

**DIRECTIVE  
No. 5130-U dated 22 April 2019**

**ON THE PROCEDURE  
OF SENDING TO THE BANK OF RUSSIA BY INSIDERS OF A NOTICE  
CONTAINING INSIDER INFORMATION  
THAT SHALL NOT BE DISCLOSED**

Based on Part 1.2 of Article 8 of Federal Law of 27 July 2010 No. 224-FZ “On Combatting Unlawful Use of Insider Information and Market Manipulation and Introducing Amendments to Particular Legislative Acts of the Russian Federation” (Corpus of Legislative Acts of the Russian Federation, 2010, No. 31, Article 4193; 2011, No. 29, Article 4291; No. 48, Article 6728; 2012, No. 31, Article 4334; 2013, No. 30, Article 4082, Article 4084; 2014, No. 30, Article 4219; 2016, No. 27, Article 4225; 2018, No. 32, Article 5103; No. 53, Article 8440) (hereinafter, “Federal Law of 27 July 2010 No. 224-FZ”) this Directive establishes the procedure of sending to the Bank of Russia by insiders a notice containing insider information that shall not be disclosed.

1. An insider who discloses to a limited extent and (or) in a limited volume the insider information subject to disclosure in compliance with the requirements of Federal Law of 27 July 2010 No. 224-FZ, must send to the Bank of Russia a notice containing the insider information that shall not be disclosed, provided in the Appendix to the present Directive) (hereinafter, “the notice”).

1.1. If an insider is a credit institution or a non-credit financial organization it must send a notice to the Bank of Russia in the form of an electronic document under the procedure provided for by Directive of the Bank of Russia of 3 November 2017 No. 4600-U “On the Procedure of Interaction of the Bank of Russia with Credit Institutions, Non-Credit Financial organizations and Other Participants of Information Exchange When Using Information Resources of the Bank of Russia Including Online Account”, registered by the Ministry of Justice of the Russian Federation on 11 January 2018 No. 49605 (hereinafter, “Directive of the Bank of Russia No. 4600-U”).

1.2. If an insider is not a credit institution or a non-credit financial organization it must send a notice to the Bank of Russia by one of the following ways:

in the form of an electronic document under the procedure provided for by Directive of the Bank of Russia No. 4600-U;

in hard copy by sending a registered mail item with return receipt (by other registered mail with notification of the sender as regards delivery to the recipient) or by delivery to the Bank of Russia’s mailroom.

1.3. If an insider sends a notice in hard copy, an electronic medium containing the text of the notice must be attached to the notice. An insider must ensure compliance of the text of the notice in the electronic medium with the text of the notice in hard copy.

1.4. A notice given in hard copy must be signed by the insider’s CEO or other person authorized by the insider and sealed with the insider’s seal (if any). If the notice is sent in hard copy by a person authorized by the insider, the notice must have attached a power of attorney or other document (copy of a power of attorney or other document certified (authenticated) under the procedure provided for by the legislation of the Russian Federation, confirming the said person’s authority to sign the notice.

1.5. If the notice in hard copy has more than one page it must be numbered, stitched and sealed with the insider's seal (if any) on the place of stitching and certified by the signature of the insider's CEO or a person authorized by him/her.

2. This Directive shall come into force 10 days after the day of its official publishing.

Chairman of the Central Bank  
of the Russian Federation  
E.S.NABIULLINA

Appendix  
to Directive of the Bank of Russia  
of 22 April 2019 No. 5130-U  
“On the Procedure of Sending to the Bank of Russia  
by Insiders of a Notice Containing  
Insider Information that  
Shall Not Be Disclosed”

Recommended Template

Our Ref. \_\_\_\_\_  
dt. \_\_\_\_ 20\_\_

Notice containing insider information  
that shall not be disclosed

No.	Required information name	To be filled in by the insider
1	2	3
1	Information about the notice	
1.1	Numerical order of the notice <1>	
2	Information about the insider	
2.1	Full corporate name (for commercial organizations), name (for non-commercial organizations)	
2.2	Short corporate name (if any) (for commercial organizations)	
2.3	Location:	
2.4	Main state registration number (if any)	
2.5	Taxpayer identification number - for insider that is a Russian legal entity; registration number in the country of registration or foreign organization code (other ID number) - for insider that is a foreign legal entity (if any)	
2.6	Webpage in the Internet used for insider information disclosure (if any)	
3	Information not to be disclosed by insider <2>	

3.1	Type (name) of the document (statement) <3>, the insider information about which shall not be disclosed	
3.2	Number and (or) name of the structural unit of the document (part, section, chapter, clause, subclause, paragraph) containing the insider information that shall not be disclosed (if applicable)	
3.3	Insider information that shall not be disclosed <4>	
3.4	The grounds on which insider information shall not be disclosed <5>, with substantiation of compliance with the aforementioned grounds	

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(position name, initials, name)

L.S.  
(if any)

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<1> To indicate the numerical order of the notice to be sent to the Bank of Russia.

<2> To indicate in succession all the types and forms of information containing insider information that shall not be disclosed. Data to be indicated for each type and (or) concrete form of information.

<3> To indicate the type (name) of the document (message) where the insider information - the notification on non-disclosure of which is sent - must be contained (for example, securities prospectus, issuer's quarterly report, joint-stock company's annual report, issuer's consolidated financial statements, information about a significant fact with indication of the reporting period (if applicable)).

<4> Insider information shall be indicated in the contents and volume in which it shall be subject to disclosure in accordance with the legislative requirements of the Russian Federation. Based on insider's decision insider information can be provided in the form of a separate document attached to the notice.

<5> To indicate the structural unit of a legal act of the Government of the Russian Federation (clause and (or) paragraph of the aforementioned legal act or attachment thereto) which determines the cases where insiders shall be entitled to effect disclosure of the information subject to disclosure in limited contents and (or) volume, as well as the list of information which insiders shall be entitled not to disclose, with indication of the respective case(s) and insider information. If the document confirming compliance with the aforementioned ground(s) is placed in public access, also the webpage address at which it is placed.