*050.0059.090407*
*REGISTERED BY*
*THE MINISTRY OF JUSTICE OF*
*THE REPUBLIC OF ARMENIA*
*APRIL 9, 2007*
*STATE REGISTRATION NUMBER: 05007165*

# REPUBLIC OF ARMENIA CENTRAL BANK BOARD DECISION

***Number 59-N dated February 20, 2007***

## ON APPROVING THE FORM FOR PROVISION OF INFORMATION ON TRANSACTIONS SUBJECT TO MANDATORY REPORTING AND SUSPICIOUS TRANSACTIONS (REPORTING FORM 005) BY ORGANIZERS OF LOTTERIES (HEREINAFTER, "REPORTING ENTITIES"), APPROVING THE PROVISION OF INFORMATION PROCEDURE AND DEADLINES, AND REPEALING THE REPUBLIC OF ARMENIA CENTRAL BANK BOARD DECISION 141-N DATED MACH 28, 2006

Based on Article 7 of the Republic of Armenia Law on Combating the Legalization of Crime Proceeds and Terrorism Financing, and guided by Articles 5 and 20 of the Republic of Armenia Law on the Central Bank and Article 72 of the Republic of Armenia Law on Legal Acts, the Republic of Armenia Central Bank Board hereby decides:

1. To approve the Form for Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities (Reporting Form 005) as per Appendix 1 (attached).
2. To approve the Procedure of Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities as per Appendix 2 (attached).
3. To approve the Deadlines of Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities as per Appendix 3 (attached).
4. To repeal the Republic of Armenia Central Bank Board Decision 141-N dated March 28, 2006 "On Defining the Form for Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions (Reporting Form 005) by Organizers of Lotteries and Defining the Provision of Information Procedure and Deadlines."

***SIGNED BY THE DEPUTY GOVERNOR***
***OF THE CENTRAL BANK***
***OF THE REPUBLIC OF ARMENIA ON FEBRUARY 27, 2007***

*Appendix 1*

***Approved under***
***Decision 59-N of the***
***Republic of Armenia***
***Central Bank Board***
***Dated February 20, 2007***

New report ○
Supplementary report ○
Number of supplemented report ☐ and ☐
sequence number of the supplementary report version

**REPORTING FORM 005**

**FOR PROVISION OF INFORMATION ON TRANSACTIONS SUBJECT TO MANDATORY REPORTING AND SUSPICIOUS TRANSACTIONS BY REPORTING ENTITIES**

This Reporting Form is filled out and presented by organizers of lotteries, in accordance with the Guidelines for Filling out and Presenting this Form.

*Whenever used in this Reporting Form, the "*" sign denotes the fields that must be filled out for transactions that are subject to mandatory reporting.*

**1. DESCRIPTION OF WINNINGS**

***1.1 Execution date of transaction to receive the winnings** ☐☐ / ☐☐ / ☐☐☐☐ (d d / m m / y y y y)

***1.2. Transaction subject to mandatory reporting** ☐

**1.3. Suspicious transaction** ☐

**1.3.1. Grounds and criteria for deeming transaction suspicious**
(If the information does not fit in the space allocated for this field, add a numbered page, marked "1.3.1." in the left corner, and fill out the necessary information in that page.)

**1.3.2. Transaction was suspended** ☐ | **1.3.3. Terminated** ☐

**1.3.4. Suspension or termination date and duration** ☐☐ / ☐☐ / ☐☐☐☐ (d d / m m / y y y y) and ☐☐ (days)

**1.3.5. Unexecuted or unfinished transaction** ☐ (see the Guidelines)

***1.4. Type (types) of lottery**

**1.4.1. Non-drawing lottery** ☐ _____
**1.4.2. Drawing lottery** ☐ _____
**1.4.3. Combined lottery** ☐ _____
**1.4.4. Totalizator** ☐ _____

***1.5. Amount of winning (winnings) (Armenian drams)** ☐☐☐☐☐☐☐☐☐☐

***1.6. Winning (winnings) payment method**

Cash ☐ Non-cash ☐ _____
Specify the form of non-cash payment

**2. INFORMATION ABOUT THE CUSTOMER (WINNER)**

***2.1. Name** *** 2.2. Surname**

Specify the sex and family status of the transaction party that is a natural person

***2.3. Residence address** (Apartment, building, street / City/village / Country)

***2.4. Date of birth** (d d / m m / y y y y) ***2.5. Citizenship** (Country)

*** 2.6 Social card number**

***2.7 Name of personal identification document**

***2.7.1 Document number**

***2.7.2. Issuing authority and date issued** (d d / m m / y y y y)

**2.8.1. Bank account number**

**2.8.2. Bank name and country**

**3. OTHER TRANSACTION-RELATED INFORMATION THAT YOU DEEM IMPORTANT**

(If the information does not fit in the space allocated for this field, add a numbered page, marked "3" in the left corner, and fill out the necessary information in that page.)

***4. OFFICER INFORMATION**

***4.1. Name** ***4.2. Surname**

***4.3. Date form filled out** (d d / m m / y y y y) *Signature*

*SEAL*

***4.4. FMC recording number of Reporting Entity**

***Republic of Armenia Central Bank***
***Financial Monitoring Center***
***6 V. Sargsyan, 375010***
***Tel. 545088, E-mail: info_fiu@cba.am***

***Annex***

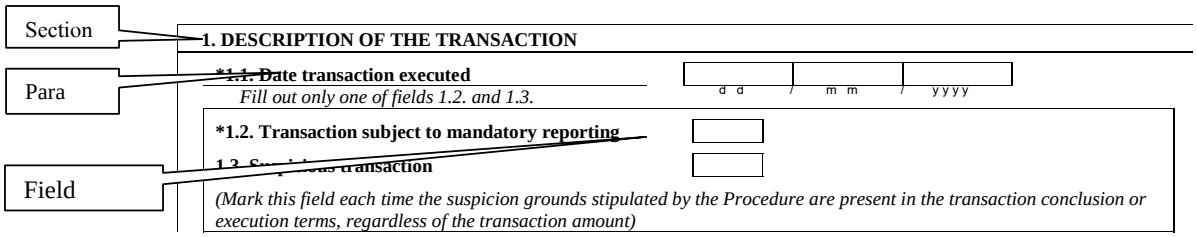
***To Appendix 1: "Form for Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities (Reporting Form 005)"***

**GUIDELINES FOR FILLING OUT AND PRESENTING REPORTING FORM 005 (HEREINAFTER, "GUIDELINES")**

General Provisions
*(On the procedure of filling out and presenting)*

This Reporting Form should be filled out only after receiving a recording number from the Republic of Armenia Central Bank Financial Monitoring Center (hereinafter, "FMC") on the basis of the "Procedure of Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities."

Reporting Form Structure and Concepts Used in these Guidelines:




Fill out this Reporting Form, if your organization (hereinafter, "Reporting Entity") is an entity that carries out the activities of organizing lotteries.

**Procedure of Filling out**

1. Fill out this Reporting Form in the following two cases:

a) If the contractual value of the real estate received as a single winning exceeds 50 million drams, or if a single winning or the sum of winnings by one person during a one-month period exceeds the money equivalent of 20 million drams;

b) If at least one of the suspicious transaction grounds and criteria defined by the Republic of Armenia Law on Combating the Legalization of Crime Proceeds and Terrorism Financing or by other legal acts is present in the winning, regardless of whether the transaction amount exceeds 20 million drams.

If the report is submitted on a suspicious transaction, then all the cells in the Reporting Form must be filled out. If the report is submitted on a transaction subject to mandatory reporting, then only the cells marked with an asterisk must be filled out. However, if it is impossible to fill out a cell due to the absence of data, then an asterisk is inserted in the cell content, and a relevant explanation provided in Section 3 of the Reporting Form.

2. This Reporting Form is not subject to regular submission. It is only submitted if there are transactions (operations) of the type mentioned in paragraph 1 above.

3. Fill out this Reporting Form in Armenian, using language that is as simple, concise, comprehensible, and unambiguous as possible.

4. Fill out this Reporting Form in any of the following two forms:

a) On paper: the paper version of the Reporting Form can be obtained:

1. By contacting the FMC; or
2. By downloading from the website of the FMC (www.cba.am/fmc/index.htm).

Fill out the paper version of the Reporting Form using a pen.

If you need to make corrections in the substance, fill out a new Reporting Form.

If you need to make technical corrections, make them and place your signature next to such corrections.

Fill out the Reporting Form within the allocated space limits of the paper form. If you need to fill out new sections, use additional papers. On the additional papers, mark the section and/or paragraph that is being filled out, sign the additional papers and attach them to the main Reporting Form.

If the space limits for any paragraph of the Reporting Form are not sufficient, fill out the information using additional sheets of paper in the following way: on the left side of the paper, specify the paragraph to which the information applies, and continue the numbering of sheets from the last page of the Reporting Form.

b) Electronically: the electronic version of the Reporting Form can be obtained:

1. By contacting the FMC; or
2. By downloading from the website of the FMC (www.cba.am/fmc/index.htm).

Fill out the electronic version of the Reporting Form by activating the windows containing the table and filling out the data.

Depending on what fields you have filled out, only the windows in which the tables are complementary (not mutually exclusive) will be activated (after the automated software is installed).

The windows containing the tables expand depending on the volume of the material filled out therein.

5. The deadlines for submitting the Reporting Form are specified in Appendix 3 to this Decision.

6. The modes of submission of a Reporting Form are specified in Appendix 2 to this Decision.

**Special Provisions**

***"New report" or "Supplementary report."*** Before filling out any report, it is necessary to specify whether it is a new report or a supplement to a report submitted earlier.

If it is necessary to provide additional or amended information on a report submitted earlier, then the "Supplementary report" circle needs to be ticked. When this is done in the electronic form, the "number of supplemented report" and the "sequence number of the supplementary report version" fields pop up, accordingly. The name of the electronic file of the Report that is being supplemented by the "supplementary report" must be filled out in the "number of supplemented report" field. In the "sequence number of the supplementary report version" field, it is necessary to fill out (using numbers) the number of the "supplementary report" in the sequence of submitted "supplementary reports."

The "supplementary report" needs to contain all the information provided in the past, including the amendment made.

The file carrying the last sequence number in the "sequence number of the supplementary report version" field of the files with the same name will be considered the latest version of the report on a transaction.

The following information will be considered supplementary:

a. Information that is inaccessible or cannot be obtained at the time of filling out the main report, i.e. when a report about an executed transaction needs to be submitted to the FMC during the established deadline, but inquiries have been made with the customer or other entities in order to collect the information needed to fill out the required fields;

b. Information that is submitted in response to the FMC's request: if there are no appropriate fields for the requested information, the information is filled out in section 4 of the Reporting Form;

c. Information that is related to a concluded transaction that still has not been executed: in this case, the "Unexecuted or unfinished transaction" field should be marked, and the reason for interrupting the transaction (for example, unilateral termination of the contract by the customer) should be mentioned in section 4 of the Reporting Form; and

d. Information that includes other information considered important by the Reporting Entity: the need to provide such information arises, because the Reporting Entity has received new information that must be submitted to the FMC, and such information is not included in the required fields.

***(1.1) "Execution date of transaction to receive the winnings":*** in this paragraph, specify the following:

- In case of submitting a report on a transaction subject to mandatory reporting, the day, month, and year (in numbers) on which the customer received the most recent winning in excess of 20 million drams;
- In case of submitting a suspicious transaction report, the day, month, and year (in numbers) of the winning regarding which the suspicion arose.

***(1.2) "Transaction subject to mandatory reporting":*** fill this paragraph each time when the contractual value of the real estate received as a single winning exceeds 50 million drams, or if a single lottery winning or the sum of winnings by one person during a one-month period exceeds the money equivalent of 20 million drams

If you have marked paragraph 1.2, do not mark paragraph 1.3. If you have filled out this paragraph, fill out only the fields marked with asterisk.

If you present the transaction (operation) report as both a transaction (operation) subject to mandatory reporting and a suspicious transaction, then this paragraph should not be filled out; instead, you should fill out paragraph 1.3 and continue filling out the Reporting Form as a form for a suspicious transaction (operation).

***(1.3) "Suspicious transaction":*** if you have marked this paragraph, do not mark paragraph 1.2. Mark paragraph 1.3 each time when at least one of the suspicion grounds and criteria is present in the conditions of the winning.

Mark 1.3 also in cases when the conditions of the winning contain evidence of both a transaction subject to mandatory reporting and a suspicious transaction. In this case, do not mark paragraph 1.2

If you have marked paragraph 1.3, specify the suspicion grounds and criteria in paragraph 1.3.1, as well as elaborate your opinion about the suspicion.

If you have suspended or terminated a transaction, then mark the appropriate cell (1.3.2 or 1.3.3, respectively), after which specify the suspension or termination date and duration in paragraph 1.3.4.

Mark paragraph 1.3.5 if, for whatever reason, the transaction was not executed or was discontinued. If the transaction was not executed, then fill out in the Reporting Form the information that became known during the period

from the moment of proposing to conclude the transaction till the moment the customer refused the intent to execute it. In section 3 of the Reporting Form, specify the reasons for non-execution, which are known to you.

If you mark this paragraph, the whole report will be considered a suspicious transaction report, and, from paragraph 1.4 on, all the information is filled out in respect of a suspicious transaction.

***(1.4) "Type (types) of lottery":*** in this paragraph, specify the type (types) of the lottery in which the winning was awarded. Also, specify the type of draw, corresponding to the type of the lottery, as a result of which the winning or the respective amount was received (for example, a television lottery draw devoted to Women's Day).

***(1.5) "Amount of winning (winnings)":*** in this paragraph, specify the total amount of the winning (winnings) in Armenian drams (numbers). In case of winning property, skip this paragraph and fill out information about the type and description of the winning in section 3.

***(1.6) "Winning (winnings) payment method":*** in this paragraph, specify whether the winning was paid in cash or non-cash form. In case of non-cash payment, specify the non-cash payment form (bank transfer, check, etc.).

***(2) "Information about the customer (winner)":*** in this section, provide information about the customer in accordance with the provisions of the customer identification procedure.

In paragraphs 2.6, 2.8.1, and 2.8.2, the customer's (player's) social card number, bank account number, and name and country of account servicing bank are filled out only if they are available. If the customer (player) has two or more bank accounts, number and specify them in section 3.

***(3) "Other transaction-related information that you deem important":*** in this paragraph, fill out information that, in your opinion, may be useful in developing a more concrete understanding of or analyzing the transaction. For any information that you fill out, specify the Reporting Form section or paragraph to which it pertains.

***(4) "Officer information":*** in this paragraph, provide information about the officer responsible in the Reporting Entity for combating money laundering and terrorism financing. This officer needs to sign and seal the filled-out Reporting Form (paper version).

The paper version of the Reporting Form must be sealed with the Reporting Entity's seal.

***(4.3) "Date form filled out":*** in this paragraph, specify the day, month, and year (in numbers) of filling out this Reporting Form.

***(4.4) "FMC recording number of Reporting Entity":*** in this paragraph, specify the recording number (in numbers) issued to you by the Financial Monitoring Center.

***Republic of Armenia Central Bank***
***Financial Monitoring Center***
***6 V. Sargsyan, 375010***
***Tel. 545088***
***E-mail: info_fiu@cba.am***

*Appendix 2*

*Approved under*
*Decision 59-N of the*
*Republic of Armenia*
*Central Bank Board*
*Dated February 20, 2007*

**PROCEDURE OF INFORMATION PROVISION ON TRANSACTIONS SUBJECT TO MANDATORY REPORTING AND SUSPICIOUS TRANSACTIONS BY REPORTING ENTITIES**

The purpose of this Procedure is the establishment and implementation of a general system for recording the entities submitting reports in respect of combating the legalization of crime proceeds and terrorism financing (hereinafter: "recording"), and of a uniform, centralized procedure for provision of information on transactions subject to mandatory reporting and suspicious transactions (Reporting Form 005).

**1. Recording of Reporting Entities in the Financial Monitoring Center of the Central Bank (hereinafter, "the Financial Monitoring Center")**

1.1. Recording is performed by means of registering Reporting Entities in the Financial Monitoring Center.
The recording of Reporting Entities is carried out in the following stages:
a) Submission of applications by the Reporting Entities; and
b) Recording of Reporting Entities.

**2. Submission of Applications by Reporting Entities**

2.1. For purposes of recording, Reporting Entities submit to the Financial Monitoring Center the application stipulated by the Annex to this Procedure in written form. The application is signed by the head of the Reporting Entity and endorsed with the Reporting Entity's seal.

The application for recording needs to contain:
a) The full name of the Reporting Entity;
b) The type of activities of the Reporting Entity;
c) The location of the Reporting Entity and of its business;
d) The taxpayer identification number and state registration number of the Reporting Entity;
e) The license number of the Reporting Entity;
f) The contact details of the internal audit unit head or officer (name, surname, patronymic, position, e-mail address, telephone, and signature); and
g) The date (day, month, and year) of filling out the application for recording.

**3. Recording of Reporting Entities in the Financial Monitoring Center**

3.1. After filling out and submitting to the Financial Monitoring Center the application stipulated by this Procedure, a recording number is issued to the Reporting Entity.

The Reporting Entity's recording number is entered into the unified database of the Financial Monitoring Center.

3.2. Reporting Entities, which are not connected to the CBANet inter-bank corporate network and, nevertheless, would submit the reports electronically, also receive an identification key for registration in the Central Bank's CBANet server, which enables sending electronic reports to the Financial Monitoring Center from a computer installed in the territory of the Central Bank.

3.3. Reporting Entities, which would submit their reports through the Internet, receive identification information produced at the time of registration on the Internet server located in the Central Bank, which need to be entered into the system in order to identify the Reporting Entity.

3.4. If a Reporting Entity is connected with the CBANet computer corporate network, it can use the network to send and receive the application for recording, the Reporting Entity's recording number, and electronic Reporting Forms.

**4. Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions**

4.1. Information is submitted to the Financial Monitoring Center in paper and/or electronic form. At that, a Reporting Form is submitted to the Financial Monitoring Center in any of the following modes:

a) By physical submission: in this case, the paper and electronic versions (on a medium) of the Reporting Form are submitted to the Financial Monitoring Center through the Documentation Unit of the Central Bank. A report is deemed to have been submitted when the Documentation Unit of the Central Bank or the computer placed in the territory of the Central bank generate a receipt;

b) In case of being connected with the CBANet network, by means of submission through this network. Meanwhile, Reporting Entities that are not connected with the CBANet network may submit the Reporting Forms electronically through the CBANet network terminal placed at the entrance of the Central Bank;

c) Through the Internet (e-mail): in this case, the electronic version of a Reporting Form is sent to the e-mail address of the Financial Monitoring Center and is deemed to have been submitted when a reply from the same e-mail address is received;

d) By fax: in this case, the paper version of the Reporting Form is sent to the fax number of the Financial Monitoring Center and is deemed to have been submitted when the fax transmission confirmation is generated; or

e) By mail: in this case, the paper and electronic versions (on a medium) of the Reporting Form are sent to the mailing address of the Financial Monitoring Center and are deemed to have been submitted upon their presentation to an office of ArmPost unit and the provision by the latter of a receipt.

4.2. In all cases, with the exception of sub-paragraphs (a) and (b) of paragraph 4.1, the paper versions of the reports (either filled out manually, or filled out electronically and printed out) are delivered to the Central Bank by mail or in person before the end of the current month.

***Annex***

***To Appendix 2, the Procedure of Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions by Reporting Entities***

Your recording number in the FMC

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

**APPLICATION FOR RECORDING**

For the attention of: Mr. _____
Head of the Financial Monitoring Center of the
Central Bank of the Republic of Armenia

I hereby request that you provide a recording number to _____
*(full name of the Reporting Entity)*

Information about the Reporting Entity:
Type of activities _____
Location _____
Location of business _____
Taxpayer identification number _____
State registration number _____
License number _____

Contact details of officer/-s
1. _____
*Name, surname, patronymic, position, e-mail address (Internet and CBANet), telephone, signature*
2. _____
*Name, surname, patronymic, position, e-mail address (Internet and CBANet), telephone, signature*
3. _____
*Name, surname, patronymic, position, e-mail address (Internet and CBANet), telephone, signature*
4. _____
*Name, surname, patronymic, position, e-mail address (Internet and CBANet), telephone, signature*

Head of the Executive Body of the Reporting Entity _____
*signature*

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City of Yerevan

*Appendix 3*

*Approved under*
*Decision 59-N of the*
*Republic of Armenia*
*Central Bank Board*
*Dated February 20, 2007*

**DEADLINES FOR PROVISION OF INFORMATION ON TRANSACTIONS SUBJECT TO MANDATORY REPORTING AND SUSPICIOUS TRANSACTIONS BY REPORTING ENTITIES**

The purpose of this Appendix is to define uniform deadlines for provision of information on transactions subject to mandatory reporting and suspicious transactions (Reporting Form 005), as established by the Board of the Central Bank of the Republic of Armenia.

1. Deadlines for Provision of Information on Transactions Subject to Mandatory Reporting and Suspicious Transactions

1.1. Provision of information on transactions subject to mandatory reporting and suspicious transactions is not a periodic activity. Information on transactions subject to mandatory reporting and suspicious transactions is provided in the presence of suspicious transaction grounds and criteria, and/or the minimum amounts subject to mandatory reporting, as stipulated by Law and the legal acts of the Authorized Body.

1.2. If the suspicious transaction grounds and criteria are discovered in a transaction (operation), a suspicious transaction report is submitted to the Financial Monitoring Center by the Reporting Entity within the same working day or, if it is impossible, before noon of the next working day.

The impossibility to submit the report mentioned in the paragraph above may be due to:

a) The end of the working (operational) day;

b) Insurmountable problems of software, hardware, or communication; or

c) Disputable cases (cases subject to discussion), etc.

1.3. A report on a transaction (operation) subject to mandatory reporting is submitted to the Financial Monitoring Center by the Reporting Entity within three working days of concluding the transaction.

1.4. The Financial Monitoring Center accepts reports signed only by the person whose information has been submitted to the Central Bank in advance in accordance with the procedure stipulated by this Decision.