

- 1) In the title of Regulation 4/01, replace the words “by them” with the words “by Investment Companies”;
- 2) In paragraph 26 (1) (“c1”), paragraph 35 (1) (“d1”), paragraph 92 (1.1), paragraph 97 (1.1) of Regulation 4/01, replace the word “unremoved” with the word “unexpunged”; and in subpoint 5.2 of Appendix 8, subpoint 8.3 of Appendix 15 to Regulation 4/01, replace the words “removed or quashed” with the words “expired or expunged”;
- 3) In paragraph 88 (1) of Regulation 4/01, add the following writing as subparagraph 1.1:
“1.1) an assurance, duly issued by the relevant authority of the country where the non-resident legal entity resides, stating that the person concerned has no outstanding or unexpunged conviction for an intentionally committed crime in accordance with the procedure prescribed by law, and has not been declared bankrupt,”;
- 4) In paragraph 94 (1) of Regulation 4/01, add the following writing as subparagraph 1.1:
“1.1) an assurance, duly issued by the relevant authority of the country where the non-resident legal entity resides, stating that the person concerned has no outstanding or unexpunged conviction for an intentionally committed crime in accordance with the procedure prescribed by law, and has not been declared bankrupt,”;
- 5) In paragraph 101 of Regulation 4/01, after the word “the application” add a new sentence with the following content:
“A direct significant participation is considered rejected if the application for an indirect significant participation acquired through it has been rejected.”;
- 6) In Appendix 8 to Regulation 4/01:
a/ after point 5.2 add the following writing as subpoint 5.2.1:

“

5.2.1 Are you included in the lists of persons related to terrorism or proliferation of weapons of mass destruction published under or in accordance with the United Nations Security Council resolutions? o No o Yes, please provide details (date (day/month/year), any legal grounds)
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b/ after point 5.13 add the following writing as point 5.14:

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5.14 Are the requirements set forth in relevant laws and regulatory instruments observed? o No, please provide details o Yes
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”;

c/ revoke point 13 (“c”);

- 7) In Appendix 14 to Regulation 4/01:

a/ after point 9.1 add the following writing as subpoint 9.1.1:

“

9.1.1 Are you included in the lists of persons related to terrorism or proliferation of weapons of mass destruction published under or in accordance with the United Nations Security Council resolutions? If “Yes”, please provide details	Yes	☐	No	☐	☐
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b/ revoke point 10(“b”);

8) In Appendix 15 to Regulation 4/01:

a/ after point 8.3 add the following writing as subpoint 8.3.1:

“

8.3.1 Are you included in the lists of persons related to terrorism or proliferation of weapons of mass destruction published under or in accordance with the United Nations Security Council resolutions? o No, o Yes, please provide details (date (day/month/year), any legal grounds)
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b/ after point 8.13 add the following writing as subpoint 8.13.1:

“

8.13.1 Do the grounds provided for under Article 55(1) of the Republic of Armenia Law “On Securities Market” and other regulatory instruments adopted pursuant thereto lack? o Yes o No, please, provide details

”;

c/ revoke subpoint “b” of section “I certify that” of point 9;

9) In Appendix 29 to Regulation 4/01, after point 10 add the following writing as points 10.1 and 10.2:

“

10.1 Is the beneficial owner included in the lists of persons related to terrorism or proliferation of weapons of mass destruction published under or in accordance with the United Nations Security Council resolutions? o No o Yes, please provide details (date (day/month/year), any legal grounds)
10.2 Has the beneficial owner ever been convicted of an intentional crime? o No o Yes, please provide details (including about whether the conviction has been expired or expunged in accordance with the procedure prescribed by law)

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