

Applicant's letter-head

no. _____ of _____ 20__ to the National Bank of Moldova

**Application
for issuing the license**

Hereby, _____
(complete name of the applicant)

Legal form of the applicant _____,

IDNO of the applicant _____,

Legal address of the applicant _____,

Phone _____ fax _____ e-mail _____

pursuant to paragraph (...) ¹ Art.47 of the Law on foreign exchange regulation no.62-XVI as of March 21, 2008, requests the issuance of the license for carrying out the currency exchange activity in cash with individuals and submits the following information:

Address of carrying out the currency exchange activity _____
(address where currency exchange operations in cash

_____ with individuals will be directly performed)

Administrator of the applicant _____
(name and surname)

Deputy-administrator of the applicant ² _____
(name and surname)

Accountant-chief of the applicant _____
(name and surname)

Other information _____

I declare my own responsibility for:

- compliance with the conditions for carrying out the currency exchange activity provided for in the Law on foreign exchange regulation no.62-XVI as of March 21, 2008;

- authenticity of the documents attached to this application.

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

Administrator or the person
authorized by him (position
to be indicated)

(signature)

(name and surname)

Stamp

¹ It shall be indicated "(1)" in case of the foreign exchange offices and (5) – in case of the hotel.

² It shall be indicated if relevant.

Applicant's letter-head

no. _____ of _____ 20__ to the National Bank of Moldova

**Application
for issuing the authorized copy of the license**

Hereby, _____
(complete name of the applicant)

Legal form of the applicant _____,

IDNO of the applicant _____,

Legal address of the applicant _____,

The holder of the license for carrying out the currency exchange activity in cash with individuals¹

(series, number and date of issuing the license to the foreign exchange office)

pursuant to paragraph (3) Art.47 of the Law on foreign exchange regulation no.62-XVI as of March 21, 2008, requests the issuance of the authorized copy of the license for carrying out the currency exchange activity in cash with individuals by the branch _____

(name of the applicant's branch)

with the legal address _____,

(legal address of the applicant's branch)

address of carrying out the currency exchange activity _____

(address where currency exchange operations

in cash with individuals will be directly performed)

Administrator of the branch _____

(name and surname)

Other information _____

I declare my own responsibility for:

- observance by the branch of the conditions for carrying out the currency exchange activity provided for in the Law on foreign exchange regulation no.62-XVI as of March 21, 2008;

- authenticity of the documents attached to this application.

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

Administrator or the person
authorized by him (position
to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.2 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ To be filled in only in the event that the authorized copy of the licence is requested after the obtaining the license by the foreign exchange office.

Legal entity's letter-head

**Attachment to the application for issuing the license no. _____ of _____
/the authorized copy of the license no. _____ of _____**

to the National Bank of Moldova

CONFIRMATION

Hereby, we confirm that, _____
(complete name of the legal entity)

IDNO _____,

has at its disposal at the address _____
(address where currency exchange operations

_____ ,
in cash with individuals will be directly performed)

where the currency exchange activity will be carried out by the branch¹

(name of the legal entity's branch)

the following means and devices:

a) cash control register:

quantity² _____,

registration number of each register at the fiscal authority _____ ;

b) foreign currencies reference book;

c) machine to verify the banknotes' authenticity:

quantity² _____ ;

d) forms of documents established by the National Bank of Moldova for the performance of
the currency exchange operations in cash with individuals, which are available _____

(it shall be indicated „in electronic form” / „on paper support”)

e) _____ .
(other means that the applicant considers necessary to indicate)

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.3 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ To be filled in if the confirmation refers to the branch of foreign exchange office.

² It shall match the number of operational windows.

Attachment to the application for issuing the license no. _____ of _____
/ the authorized copy of the license no. _____ of _____

PERSONAL FILE

1. Foreign exchange office /Hotel *(to be struck out where not applicable):*

- a) name _____
- b) IDNO _____
- c) legal address _____

2. Branch of the foreign exchange office *(to be indicated if applicable):*

- a) name of the branch _____
- b) legal address _____

3. Name, surname _____

4. Position held _____
(administrator, deputy-administrator, chief-accountant, accountant)

5. IDNP _____

6. Date, month and year of birth _____ **7. Citizenship** _____

8. a) Domicile _____
(street, house, apartment; postal code; name of the town, village;

name of the territorial and administrative entity; name of the country)

b) Residence _____
(to be indicated additionally by non-residents)

9. Phone _____, **fax:** _____, **e-mail** _____

10.a) Data of identity document _____
(series and number, date of issuance,

validity term, authority that issued the identity document)

b) Data of labour permit in the Republic of Moldova _____
(to be indicated by non-residents)

(series and number, date of issuance, validity term, authority that issued the labour permit)

11. Education: *(graduated institutions, including secondary school, vocational school, technical school, higher, postgraduate institutions, shall be indicated chronologically)*

Institution	Years of studies		Specialization	Title /qualification
	from	until		

12. Professional experience *(to be indicated chronologically)*

Period of activity (month, year)		Name of the company (institution, organization)	Locality	Position held
from	until			

List of the attached documents:

I declare on my own responsibility that all information provided and mentioned in this file is veracious and complete.

(date)

(signature)

(Attachment no.4 modified by the Decision of the NBM no.233 of 27.10.2011)

**Minimum requirements
for the premises of the foreign exchange offices (their branches)
where currency exchange operations in cash with individuals are directly performed**

In order to ensure the integrity of funds and other values, the premise where currency exchange operations in cash with individuals are directly performed shall correspond to the following minimum requirements:

1. The premise shall be isolated from other service and auxiliary premises and shall have not less than 2 m² for each operational window.

2. Doors, walls, floors of the premise shall be sufficiently durable to resist the force applied by a person, as well as the attempt of destroying (opening) them with the help of certain simple instruments.

3. Each operational window for performing operations with individuals shall be arranged so that:

a) the client shall have the possibility to follow freely the process of re-counting by the cashier of funds received from him;

b) the client shall have a convenient place for independent re-counting of funds received from the cashier (for instance, a bar at the level of operational window, a support).

4. A fenced space within a radius of two meters or restrictive indicators of access shall be located in front of the operational window with the purpose of safe servicing of the client.

The enumerated requirements shall not exonerate the foreign exchange office from the mandatory observance of other provisions of the acting legislation established in order to ensure the integrity of funds and other values.

Legal entity's letter-head

**Attachment to the application for issuing the license no. _____ of _____
/the authorized copy of the license no. _____ of _____**

to the National Bank of Moldova

CONFIRMATION

Hereby, we confirm that, _____
(complete name of the legal entity)

IDNO _____,

has at its disposal at the address _____
(address where currency exchange operations

_____ ,
in cash with individuals will be directly performed)

where the currency exchange activity will be carried out by the branch¹ _____

_____ ,
(name of the legal entity's branch)

a premise for performing the currency exchange operations in cash with individuals with a surface of _____ m², which is located within the building.

Simultaneously, we confirm that,

a) the premise destined to the performance of currency exchange operations in cash with individuals:

- is isolated from other service and auxiliary premises;

- each operational window has not less than 2 m²;

- doors, walls, floors of the premise are sufficiently durable to resist the force applied by a person, as well as the attempt of destroying (opening) them with the help of certain simple instruments;

b) each operational window for performing operations with individuals are arranged so that:

- the client has the possibility to follow freely the process of re-counting by the cashier of funds received from him;

- the client has a convenient place for independent re-counting of funds received from the cashier, and namely _____;

c) in front of the operational window exists *(used method of protection shall be indicated)*:

_____ ,
(a space in front of the operational window fenced within a radius of two meters or restrictive indicators of access, with the purpose of safe servicing of the client)

Other information _____

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.6 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ To be filled in if the confirmation refers to the branch of foreign exchange office.

Legal entity's letter-head

**Attachment to the application for issuing the license no. _____ of _____
/the authorized copy of the license no. _____ of _____**

to the National Bank of Moldova

INFORMATION

Hereby, we inform the National Bank of Moldova that,

(complete name of the legal entity)

IDNO _____,

has at its disposal _____ operational windows for carrying out the currency exchange activity in cash
(number of operational windows)
with individuals at the address _____

(address where currency exchange operations

in cash with individuals will be directly performed)

where the branch¹ _____ is located.

(name of the legal entity's branch)

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.7 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ To be filled in if confirmation refers to the branch of the foreign exchange office.

**The documents confirming the existence of funds necessary
for obtaining the license /the authorized copy of the license**

I. The list of the documents confirming the existence of funds

1. The document confirming the existence on the accounts of the foreign exchange office, including, if any, on the accounts of its branches, opened with the licensed banks, of pecuniary contributions in the equity of this office (which constitute the circulating cash assets provided for the performance of currency exchange operations in cash with individuals) in the minimum amount established in:

- a) paragraph (1) Art.44 of the Law no.62-XVI as of March 21, 2008;
- b) paragraphs (1) and (2) Art.44 of the Law no.62-XVI as of March 21, 2008.

2. The document confirming the existence on the accounts of the foreign exchange entity, including, if any, on the accounts of its branches, opened with the licensed banks, of the circulating cash assets provided for the performance of currency exchange operations in cash with individuals (formed from the pecuniary contributions in the equity of this office).

3. The Report on the performed operations, specified in Attachment no.8 to this Regulation, compiled for the head office and for each branch which already activates.

4. The copies of the consolidated fiscal documents, that shall be attached to each report specified in item 3 of this Attachment.

5. The copies of the registers according to Attachments no.9 and no.10 to this Regulation, that shall be attached to each report specified in item 3 of this Attachment.

6. The copies of the documents, on the basis of which the cashier received and transmitted the funds, that shall be attached to each report specified in item 3 of this Attachment.

II. Requirements for the documents indicated in this Attachment

7. The document shall be issued by the licensed bank on the bank's letter-head and shall be authenticated by the signature of the administrator, of the chief accountant and by the stamp of the licensed bank.

8. The document shall include the amount and the date of depositing into the bank accounts of the foreign exchange office /its branches of funds as pecuniary contributions in the equity, the source of origin of these funds, the number of the respective account and its balance on the date specified in item 10 of this Attachment, as well as other information that the bank considers necessary to indicate.

9. The document shall include the number of the respective bank account of the foreign exchange office /its branch and its balance on the date specified in item 10 of this Attachment, as well as other information that the bank considers necessary to indicate.

10. The document:

a) shall be issued not earlier than 5 working days before the date of its submission to the National Bank of Moldova and shall confirm the availability of funds on the date of issue of this document;

b) shall confirm the availability of funds at the end of the working day preceding the day of submitting the application to the National Bank of Moldova;

c) shall confirm the availability of funds at the end of the working day in which the respective authority registered amendments to the incorporation documents of the foreign exchange office.

11. The reports and copies of documents shall be authenticated by the signatures of the administrator, of the chief accountant and by the stamp of the foreign exchange office.

(Attachment no.7¹ introduced by the Decision of the NBM no.143 of 21.06.2012)

(name of the foreign exchange entity and of its subdivision)

(address of carrying out the currency exchange activity)

(IDNO)

(name and surname of the cashier)

**Report
on performed operations**
for " _____ " 20_____
(date, month and year to be indicated)

Name of indicators: - name of values: cash, traveller's cheques, - name of currency, - name of traveller's cheques	Balance at the beginning of the working day of the cashier (in original currency)	Received for settlement during the working day of the cashier (in original currency)	Collections		Payments		Transmitted by the cashier during the working day (in original currency)	Balance at the end of the working day of the cashier (in original currency)
			in foreign currency	in Moldovan Lei	in foreign currency	in Moldovan Lei		
A	1	2	3	4	5	6	7	8
Amount of collected commissions	X	X			X	X	X	X
Amount of obligatory additional payment	X	X	X		X	X	X	X
Moldovan Lei			X		X			

Cashier who performed the operations _____
(signature)

The report is verified by the accountant _____
(signature)

The procedures of compiling the Report on performed operations

Chapter I. General provisions

1. The Report on performed operations shall be compiled by each cashier at the end of its working day, as well as in cases provided for in items 14 and 143 of this Regulation. The report drawn up manually shall be filled in by using a pen.

2. The Report on performed operations shall reflect the balances of cash in Moldovan Lei and in foreign currency and of traveller's cheques in foreign currency at the beginning and at the end of the working day of the cashier, as well as the movement of these funds during the working day of the cashier.

3. The amounts in Moldovan Lei and in foreign currency shall be indicated in the report with two decimal digits.

Chapter II. Introductory part of the report

4. (name of the foreign exchange entity and of its subdivision): the complete name of the licensed bank /foreign exchange office/ hotel shall be indicated. In case of the foreign exchange bureau opened within a branch/secondary office of the license bank, the name of the respective branch /secondary office shall be indicated. In case of branch of the foreign exchange office, its name shall be indicated as well.

5. (address of carrying out the currency exchange activity): the address where the foreign exchange bureau of the licensed bank /foreign exchange office /its branch /the foreign exchange bureau of the hotel carries out the currency exchange activity in cash with individuals shall be indicated.

6. (IDNO): the state identification number (IDNO) assigned according to the acting legislation to the licensed bank /foreign exchange office /hotel shall be indicated.

Chapter III. Filling in the report

7. Column A „Name of indicators” shall indicate the values (cash, traveller's cheques), the name of currency (Moldovan Lei, US dollars etc.), the name of traveller's cheques (Visa etc.), the name of amounts collected additionally (commissions, obligatory additional payment).

8. Column 1 „Balance at the beginning of the working day of the cashier” shall indicate the amounts in original currency of cash and of traveller's cheques received by the cashier for settlement at the beginning of his working day.

9. Column 2 „Received for settlement during the working day of the cashier” shall indicate the amounts in original currency of cash and of traveller's cheques received by the cashier for settlement during his working day.

10. Column 3 „Collections: in foreign currency” shall indicate:

a) the amounts in original currency of cash in foreign currency and of traveller's cheques in foreign currency purchased by the cashier from individuals during his working day (the commissions collected in foreign currency shall not be included and shall be reflected separately);

b) line „Amount of collected commissions” – where appropriate, the amounts of commissions collected in foreign currency while performing the operations of purchase of foreign

currency in cash from individuals. The amounts of commissions collected in foreign currency shall be reflected separately on each foreign currency.

11. Column 4 „Collections: in Moldovan Lei” shall indicate:

a) the equivalent in Moldovan Lei at bid rate of the amounts (reflected in column 3) of cash in foreign currency and of traveller’s cheques in foreign currency purchased by the cashier from individuals during his working day;

b) line „Amount of collected commissions” – where appropriate, the amounts of commissions collected in Moldovan Lei while performing currency exchange operations in cash with individuals;

c) line „Amount of obligatory additional payment” – the amount of obligatory additional payment collected according to the provisions of the Law on republican fund and local funds of social support of the population no.827-XIV of February 18, 2000;

d) line „Moldovan Lei” – the amount calculated by summing up the amounts in Moldovan Lei reflected in the lines of column 6, the collected amounts of obligatory additional payment and of the commissions collected in Moldovan Lei reflected in the respective lines of column 4.

12. Column 5 „Payments: in foreign currency” shall indicate the amounts in original currency of cash in foreign currency and of traveller’s cheques in foreign currency sold by the cashier to individuals during his working day.

13. Column 6 „Payment: in Moldovan Lei” shall indicate:

a) the equivalent in Moldovan Lei at the ask rate of amounts (reflected in column 5) of the cash in foreign currency and of traveller’s cheques in foreign currency sold by the cashier to individuals during his working day;

b) line „Moldovan Lei” – the amount calculated by summing up the amounts in Moldovan Lei reflected in the lines of column 4 (except for the collected amounts of obligatory additional payment and of the commissions collected in Moldovan Lei reflected in the respective lines of column 4).

14. Column 7 „Transmitted by the cashier during working day” shall indicate the amounts in original currency of cash and of traveller’s cheques transmitted by the cashier during his working day.

15. Column 8 „Balance at the end of the working day of the cashier” shall indicate:

a) amounts in original currency of cash in foreign currency and of traveller’s cheques in foreign currency at the end of the working day of the cashier, which shall be equal with the amounts determined according to the following formula: $col.1+col.2+col.3-col.5-col.7$. In case when the commissions are collected in foreign currency, to the amount determined in accordance with this formula shall be added the amounts of commissions collected in foreign currency reflected in column 3;

b) line „Moldovan Lei” – the amount of cash in Moldovan Lei at the end of the working day of the cashier that shall be equal to the amount determined according to the formula: $col.1+col.2+col.4-col.6-col.7$.

Chapter IV. Final provisions

16. The report shall be signed by the cashier who performed the operations and by the accountant of the foreign exchange entity that verified the report.

(Attachment no.8 modified by the Decision of the NBM no.143 of 21.06.2012)

(Attachment no.8 modified by the Decision of the NBM no.233 of 27.10.2011)

(name of the foreign exchange entity and of its subdivision)

(address of the carrying out the currency exchange activity)

(name and surname of the cashier)

(IDNO)

Registration number of CCR assigned by the fiscal authority _____

REGISTER

(name of the register)

"___" _____ 20___
(date of compiling)

no.	Name of foreign currency received: - in cash; - according to traveller's cheques (currency of the traveller's cheques, name of the cheques (VISA etc.), numbers, series shall be indicated)	Received amount of foreign currency	Bid rate		Amount of Moldovan Lei at bid rate	Commissions		Paid amount of Moldovan Lei	Number of the cash voucher (currency exchange bulletin)	Name and surname of the individual who performed the operation ¹	Name and surname of the individual in whose name the operation was performed ²
			Quantity of quoted units	Exchange rate		Amount	Currency code				
1	2	3	4	5	6	7	8	9	10	11	12

Summarized data

									x	x	x
									x	x	x
									x	x	x
	Total Moldovan Lei paid	x	x	x			x		x	x	x

Cashier who performed the operations _____
(signature)

Calculations are verified by the accountant _____
(name, surname, signature)

¹ To be filled in for the currency exchange operation in cash with individual, when, in cases established by legislation, the identification of the individual that directly performs the operation is required.

² To be filled in simultaneously with column 11, in case the currency exchange operation in cash is performed in the name of other individual.

The procedures of filling in the register

1. The respective register shall be filled in by the cashier of the foreign exchange bureau of the licensed bank, of the foreign exchange office/its branch, of the foreign exchange bureau of the hotel while performing the purchase operations of foreign currency with individuals in the case specified under item 110 of this Regulation. The register drawn up manually shall be filled in by using a pen.

2. (name of the foreign exchange entity and of its subdivision): the complete name of the licensed bank /foreign exchange office/ hotel shall be indicated. In case of a foreign exchange bureau opened within a branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of branch of the foreign exchange office, its name shall be indicated as well.

3. (address of carrying out the currency exchange activity): the address where the foreign exchange bureau of the licensed bank /foreign exchange office /its branch /the foreign exchange bureau of the hotel carries out the currency exchange activity in cash with individuals shall be indicated.

4. (IDNO): the state identification number (IDNO) assigned according to the acting legislation to the licensed bank /foreign exchange office /hotel shall be indicated.

5. (name and surname of the cashier): the name and surname of the cashier who fills in the register shall be indicated.

6. Registration number of CCR assigned by the fiscal authority: the number of the cash control register assigned by the fiscal inspectorate while registering or re-registering CCR shall be indicated.

7. (name of the register): the name of the register according to the provisions of sub-items a) and b) item 111 of this Regulation shall be indicated.

8. The information of items 2 - 7 of the present procedures shall be indicated in the register while performing the first currency exchange operation in cash with individual that implies the filling in of this register.

9. Column 1 „no.”: the ordinal number of the entry shall be indicated.

10. Column 2 „Name of the foreign currency received”: the name of the foreign currency received from the client as a result of the purchase operation (for instance, US dollars) shall be indicated. The name of the traveller’s cheques, currency of the cheques, series and numbers of the cheques shall be indicated (for instance, T/ch Visa in US dollars, AA no.215678) in case of the purchase operation of traveller’s cheques in foreign currency.

11. Column 3 „Received amount of foreign currency”: the amount of the foreign currency received from the client that includes also the amount of commissions shall be indicated.

12. Column 4 „Bid rate: Quantity of the quoted units”: it shall be indicated the quantity of the foreign currency units for which the exchange rate is established.

13. Column 5 „Bid rate: Exchange rate”: the rate of exchange of the quoted quantity of the foreign currency against Moldovan Lei in accordance with the order on bid and ask rates for performing currency exchange operations in cash with individuals.

14. Column 6 „Amount of Moldovan Lei at bid rate”: the amount of Moldovan Lei determined by applying the bid rate according to the formula: $\text{col.3} \times \text{col.5} / \text{col.4}$ shall be indicated.
15. Column 7 „Commissions: Amount”: the amount of collected commissions shall be indicated.
16. Column 8 „Commissions: Currency code”: the alphabetic code of the currency in which commissions are collected shall be indicated.
17. Column 9 „Paid amount of Moldovan Lei”: the paid amount in Moldovan Lei, calculated as follows shall be indicated:
- a) in case the commissions are collected in national currency – shall be calculated according to the formula: $\text{col.6} - \text{col.7}$;
 - b) in case the commissions are collected in foreign currency – shall be calculated according to the formula: $(\text{col.3} - \text{col.7}) \times \text{col.5} / \text{col.4}$.
18. The amounts indicated in columns 3 - 9 shall correspond with the respective amounts indicated in the currency exchange bulletin /cash voucher.
19. Column 10 „Number of the cash voucher (currency exchange bulletin)”: the number of the cash voucher (currency exchange bulletin) shall be indicated.
20. Column 11 „Name and surname of the individual who performed the operation”: it shall be indicated the name and surname of the individual who performed the operation. It shall be filled in for the currency exchange operation in cash with individual, when, in cases established by legislation, the identification of the individual who directly performs the operation is required.
21. Column 12 „Name and surname of the individual in whose name the operation was performed”: it shall be indicated the name and surname of the individual in whose name the operation was performed. It shall be filled in simultaneously with column 11, in case the currency exchange operation in cash is performed in the name of other individual.
22. At the end of the working day, the cashier summarizes the operations performed during his working day, by filling in the respective lines of columns 2, 3, 6 - 9 in section „Summarized data”. Columns 4 and 5 shall indicate the bid rate of the respective currency. The register specified under sub-item a) item 111 of this Regulation shall include the summing up for each foreign currency, while the register specified under sub-item b) item 111 of this Regulation shall include the summing up for each foreign currency and for each traveller’s cheques in foreign currency.
23. The register shall be signed by the cashier at the end of his working day. Following the verification, the register shall be signed by the accountant who performed the verification, by indicating his name and surname.

(Attachment no.9 modified by the Decision of the NBM no.233 of 27.10.2011)

Attachment no.10
to the Regulation on foreign exchange entities

(name of the foreign exchange entity and of its subdivision)

(address of the carrying out the currency exchange activity)

(name and surname of the cashier)

(IDNO)

Registration number of CCR assigned by the fiscal authority _____

REGISTER

(name of the register)

" ___ " _____ 20 ___
(date of compiling)

no.	Name of the foreign currency paid: - in cash; - in traveller's cheques (currency of traveller's cheques, name of cheques (VISA etc.), numbers, series shall be indicated)	Received amount of Moldovan Lei	Amount of obligatory additional payment (in Moldovan Lei)	Amount of commissions (in Moldovan Lei)	Amount of Moldovan Lei to be converted	Ask rate		Paid amount of foreign currency	Number of the cash voucher (currency exchange bulletin)	Name and surname of the individual who performed the operation ¹	Name and surname of the individual in whose name the operation was performed ²
						Quantity of quoted units	Exchange rate				
1	2	3	4	5	6	7	8	9	10	11	12

Summarized data

									X	X	X
									X	X	X
									X	X	X
	Total Moldovan Lei received					X	X	X	X	X	X

Cashier who performed the operations _____
(signature)

Calculations are verified by the accountant _____
(name, surname, signature)

¹ To be filled in for the currency exchange operation in cash with individual, when, in cases established by legislation, the identification of the individual that directly performs the operation is required.

² To be filled in simultaneously with column 9, in case the currency exchange operation in cash is performed in the name of other individual.

The procedures of filling in the register

1. The respective register shall be filled in by the cashier of the foreign exchange bureau of the licensed bank, of the foreign exchange office/its branch, of the foreign exchange bureau of the hotel while performing the sale operations of foreign currency with individuals in the case specified under item 110 of this Regulation. The register drawn up manually shall be filled in by using a pen.

2. (name of the foreign exchange entity and of its subdivision): the complete name of the licensed bank /foreign exchange office/ hotel shall be indicated. In case of a foreign exchange bureau opened within a branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of branch of the foreign exchange office, its name shall be indicated as well.

3. (address of carrying out the currency exchange activity): the address where the foreign exchange bureau of the licensed bank /foreign exchange office /its branch /the foreign exchange bureau of the hotel carries out the currency exchange activity in cash with individuals shall be indicated.

4. (IDNO): the state identification number (IDNO) assigned according to the acting legislation to the licensed bank /foreign exchange office /hotel shall be indicated.

5. (name and surname of the cashier): the name and surname of the cashier who fills in the register shall be indicated.

6. Registration number of CCR assigned by the fiscal authority: the number of the cash control register assigned by the fiscal inspectorate while registering or re-registering CCR shall be indicated.

7. (name of the register): the name of the register according to provisions of sub-items c) and d) item 111 of this Regulation shall be indicated.

8. The information of items 2 - 7 of the present procedures shall be indicated in the register while performing the first currency exchange operation in cash with individual that implies the filling in of this register.

9. Column 1 „no.”: the ordinal number of the entry shall be indicated.

10. Column 2 „Name of the foreign currency paid”: the name of the foreign currency paid to the client as a result of the sale operation (for instance, US dollars) shall be indicated. The name of the traveller’s cheques, currency of the cheques, series and numbers of the cheques shall be indicated (for instance, T/ch Visa in US dollars, AA no.215678) in case of the sale operation of traveller’s cheques in foreign currency.

11. Column 3 „Received amount of Moldovan Lei”: the amount of Moldovan Lei received from the client that includes also the amount of the obligatory additional payment and the amount of commissions shall be indicated.

12. Column 4 „Amount of obligatory additional payment”: the amount in Moldovan Lei of the obligatory additional payment that is collected according to the Law on republican fund and local funds of social support of the population no.827-XIV of February 18, 2000, shall be indicated.

13. Column 5 „Amount of commissions”: the amount in Moldovan Lei of collected commissions shall be indicated.

14. Column 6 „Amount of Moldovan Lei to be converted”: it shall be indicated the amount of Moldovan Lei on which basis is determined the amount of the foreign currency to be paid to the client. This amount shall be equal to the amount determined according to the formula: col.3-col.4-col.5.

15. Column 7 „Ask rate: Quantity of the quoted units”: it shall be indicated the quantity of the foreign currency units for which the exchange rate is established.

16. Column 8 „ Ask rate: Exchange rate”: the rate of exchange of the quoted quantity of the foreign currency against Moldovan Lei in accordance with the order on bid and ask rates for performing currency exchange operations in cash with individuals.

17. Column 9 „Paid amount of foreign currency”: the amount of paid foreign currency determined according to the formula: col.6/col.8*col.7 shall be indicated.

18. The amounts indicated in columns 3 - 9 shall correspond with the respective amounts indicated in the currency exchange bulletin /cash voucher.

19. Column 10 „Number of the cash voucher (currency exchange bulletin)”: the number of the cash voucher (currency exchange bulletin) shall be indicated.

20. Column 11 „Name and surname of the individual who performed the operation”: it shall be indicated the name and surname of the individual who performed the operation. It shall be filled in for the currency exchange operation in cash with individual, when, in cases established by legislation, the identification of the individual who directly performs the operation is required.

21. Column 12 „Name and surname of the individual in whose name the operation was performed”: it shall be indicated the name and surname of the individual in whose name the operation was performed. It shall be filled in simultaneously with column 11, in case the currency exchange operation in cash is performed in the name of other individual.

22. At the end of the working day, the cashier summarizes operations performed during its working day, by filling in the respective lines of columns 2 – 6 and 9 in section „Summarized data”. Columns 7 and 8 shall indicate the ask rate of the respective currency. The register specified under sub-item c) item 111 of this Regulation shall include the summing up for each foreign currency, while the register specified under sub-item d) item 111 of this Regulation shall include the summing up for each foreign currency and for each traveller’s cheques in foreign currency.

23. The register shall be signed by the cashier at the end of his working day. Following the verification, the register shall be signed by the accountant who performed the verification, by indicating its name and surname.

(Attachment no.10 modified by the Decision of the NBM no.233 of 27.10.2011)

Applicant's letter-head

no. _____ of _____ 20 _____ to the National Bank of Moldova

**Application
on prolongation of the license validity term**

Hereby, _____
(complete name of the legal entity)

Legal form: _____

IDNO _____,

Legal address _____

Phone _____ fax: _____ e-mail _____

pursuant to paragraph (3) Art.49 of the Law on foreign exchange regulation no.62-XVI as of March 21, 2008, requests the prolongation of the validity term of the license for carrying out the currency exchange activity in cash with individuals _____.
(series, number and issue date of the license shall be indicated)

I declare my own responsibility for:

- compliance with the conditions for carrying out the currency exchange activity provided for in the Law on foreign exchange regulation no.62-XVI as of March 21, 2008;
- authenticity of the documents attached to this application.

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

Letter-head of the National Bank of Moldova

no. _____ „____” _____ 20__

CERTIFICATE

Hereby, the National Bank of Moldova confirms that,

(name of the license holder)
legal form _____,
IDNO _____,
with the legal address _____,
with address of the carrying out the currency exchange activity _____

has the right to carry out currency exchange activity in cash with individuals on the basis of
license no. _____ dated „____” _____ 20__.

In connection with _____ pursuant to Art. ____ of the Law on
(updating the license / issuance of the license duplicate)
foreign exchange regulation no.62- XVI of March 21, 2008, the license holder has the right to
carry out the licensed activity on the basis of this certificate until „____” _____ 20__.

(function of the NBM
manager)

(signature)

(name and surname)

Stamp

(Attachment no.12 modified by the Decision of the NBM no.233 of 27.10.2011)

Letter-head of the National Bank of Moldova

no. _____ „_____” _____ 20__

CERTIFICATE

Hereby, the National Bank of Moldova confirms that, the
branch _____ with the legal address _____
(name of the branch)
_____,
(legal address of the branch)
with the address of the carrying out the currency exchange activity _____
_____,
of the foreign exchange office _____
(name of the license holder)
legal form _____,
IDNO _____,
with the legal address _____,
has the right to carry out the currency exchange activity in cash with individuals on the basis of the
authorized copy of the license _____ dated „_____” _____ 20__.

(series, number and date of issue of the license)

In connection with _____ pursuant to
(updating of the authorized copy of the license / issuance of the duplicate of the authorized copy of the license)
Art. _____ of the Law on foreign exchange regulation no.62-XVI of March 21, 2008, the above
mentioned branch has the right to carry out the licensed activity on the basis of this certificate until
„_____” _____ 20__.

(function of the NBM
manager)

(signature)

(name and surname)

Stamp

(Attachment no.13 modified by the Decision of the NBM no.233 of 27.10.2011)

Letter-head of the license holder

no. _____ of _____ 20____ to the National Bank of Moldova

**NOTICE
on data modification**

Hereby, _____,

(name of the license holder)

holder of the license _____ informs the National Bank of Moldova that to

(series, number and date of issue of the license)

the documents attached to:

- the application for issuing the license no. _____ of _____
- the application for issuing the authorized copy of the license no. _____ of _____

(to be indicated and filled in where relevant)

were operated the following data modifications:

1. _____
(name, number and date of the modified document)

_____ *(description of modifications)*

2. _____

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

Letter-head of the applicant

no. _____ of _____ 20__ to the National Bank of Moldova

**APPLICATION
for updating the authorized copy of the license**

Hereby, the foreign exchange office _____
(name of the license holder)

IDNO _____,

Legal address _____,

Holder of the license _____,
(series, number and date of issue of the license)

having the branch _____
(name of the branch)

with the legal address _____
(legal address of the branch of the foreign exchange office)

the authorized copy of license signed by the NBM on _____
(date of signing by the NBM of the authorized copy of the license)

requests the updating of the authorized copy of the license in connection with the modification of the following data indicated in the authorized copy of the license:

<i>Data to be modified</i>	<i>Data that shall be indicated in the authorized copy of the license</i>

Other information _____

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.16 modified by the Decision of the NBM no.233 of 27.10.2011)

Letter-head of the applicant

no. _____ of _____ 20__ to National Bank of Moldova

**APPLICATION
for issuing the duplicate of the license**

Hereby, _____
(name of the license holder)

IDNO _____,

Legal address _____,

Holder of the license _____,
(series, number and date of issue of the license)

in connection with the _____ of the nominated license, requests pursuant to Art.53
(loss/damage)
of the Law on foreign exchange regulation no.62-XVI of March 21, 2008, the issuance of
duplicate of the mentioned license.

Simultaneously, we request the issuance of the authorized copies of the license duplicate for the
following branches:

(name of the branch, its legal address, date of signing by the NBM of the authorized copy of the license)

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.17 modified by the Decision of the NBM no.233 of 27.10.2011)

Letter-head of the applicant

no. _____ of _____ 20__ to National Bank of Moldova

APPLICATION
for issuing the duplicate of the authorized copy of the license

Hereby, the foreign exchange office _____
(name of the license holder)

IDNO _____,

Legal address _____,

Holder of the license _____,
(series, number and date of issue of the license)

having the branch _____
(name of the branch)

with the legal address _____
(legal address of the branch of the foreign exchange office)

the authorized copy of license signed by the NBM on _____
(date of signing by the NBM of the authorized copy of the license)

in connection with the _____ of the authorized copy of the mentioned license,
(loss /damage)

requests pursuant to Art.53 of the Law on foreign exchange regulation no.62-XVI of March 21, 2008, the issuance of the duplicate of the authorized copy of the license.

The list of the documents attached to the application

no.	Name of the document	Number and date of the document	Number of pages
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.18 modified by the Decision of the NBM no.233 of 27.10.2011)

Letter-head of the applicant

no. _____ of _____ 20__ to National Bank of Moldova

NOTICE
on the opening of the foreign exchange bureau of the licensed bank

Hereby, we inform the National Bank of Moldova on the opening of the foreign exchange bureau within _____

_____,
(to indicate, where appropriate, the name of the licensed bank with the inscription „head office”, the name of the branch /secondary office of the licensed bank within which the foreign exchange bureau shall be opened)

located at the address _____

(to indicate, where appropriate, the legal address of the licensed bank, the legal address of the branch /secondary office, within which the foreign exchange bureau shall be opened)

Date of opening _____.

Simultaneously, we inform on the following:

1. The number of operational windows in the foreign exchange bureau _____;
2. The location of the operational windows of the foreign exchange bureau _____;

(places of location of the operational windows of the foreign exchange bureau shall be indicated)

3. The phone number /numbers: _____
(to indicate, where appropriate, the telephone number of the head office, branch or secondary office within which the foreign exchange bureau shall be opened and where the information related to the activity of the foreign exchange bureau may be obtained)

4. The foreign exchange office has at its disposal the following means and devices:

a) cash control register:

quantity¹ _____,
registration number of each register at the fiscal authority _____;

b) foreign currencies reference book;

c) machine for banknotes authenticity verification

quantity¹ _____;

d) forms of documents established by the National Bank of Moldova for performance of the currency exchange operations in cash with individuals, which are available _____;

(it shall be indicated „in electronic form” / „on paper support”)

e) _____.

(other means that the bank considers necessary to indicate)

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.19 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ It shall correspond to the number of operational windows.

Letter-head of the applicant

no. _____ of _____ 20__ to National Bank of Moldova

NOTICE
on modification of data related to the foreign exchange bureau of the licensed bank

Hereby, we inform the National Bank of Moldova on modification of the following data from the Notice no. _____ of _____ 20__ on the opening of the foreign exchange bureau of the licensed bank which activates in

_____ (to indicate, where appropriate, the name of the licensed bank with the inscription „head office”, the name of the branch /secondary office of the licensed bank within which the foreign exchange bureau is opened)

located at the address _____

_____ (to indicate, where appropriate, the legal address of the licensed bank, the legal address of the branch /secondary office, within which the foreign exchange bureau is opened)

(only sections that contain modified data shall be filled in)
(updated information shall be indicated in the modified section)

1. The number of operational windows in the foreign exchange bureau: _____;
2. The location of the operational windows of the foreign exchange bureau: _____;

_____ (places of location of the operational windows of the foreign exchange bureau shall be indicated)

3. The phone number /numbers: _____
(to indicate, where appropriate, the telephone number of the head office, branch or secondary office within which the foreign exchange bureau is opened and where the information related to the activity of the foreign exchange bureau may be obtained)

4. The foreign exchange office has at its disposal the following means and devices:

a) cash control register:

quantity¹ _____,

registration number of each register at the fiscal authority _____;

b) machine for banknotes authenticity verification:

quantity¹ _____;

c) forms of documents established by the National Bank of Moldova for performance of the currency exchange operations in cash with individuals, which are available

_____;
(it shall be indicated „in electronic form” / „on paper support”)

d) _____.

(other means that the bank considers necessary to indicate)

Administrator or the
person authorized by him
(position to be indicated)

(signature)

(name and surname)

Stamp

(Attachment no.20 modified by the Decision of the NBM no.233 of 27.10.2011)

¹ It shall correspond to the number of operational windows.

**Basic fitness criteria
of banknotes in foreign currency in case of performing currency exchange
operations in cash with individuals**

1. The foreign exchange entity shall perform currency exchange operations in cash with individuals with the following authentic foreign currency banknotes in circulation:

a) banknotes that kept the main signs of fitness: the name of the issuing bank, the number and series, the value in numbers and in words, the basic ornament (portrait) on the front and the reverse side, as well as the security elements against falsification (the watermark, magnetic signs, fibers included within the structure of the paper, including those visible under ultraviolet light, confetti, safety thread, microtext, luminescent images etc.);

b) banknotes that have certain insignificant defects as a result of the ordinary wear-and-tear: contaminations and shabby places, as well as small spots of fat or of other nature, inscriptions, stamps (except stamps that state that the banknote is unauthentic) that do not modify the main signs of fitness.

2. At its discretion, the foreign exchange entity may perform currency exchange operations in cash with individuals receiving from the clients authentic banknotes in foreign currency that have more significant defects or of other nature than those specified under item 1 of this attachment. Nevertheless, such banknotes can not be sold to individuals, in case they refuse to receive them.

3. While establishing internal rules regarding the receipt of banknotes mentioned under item 2 of this attachment, the foreign exchange entity may follow the fitness signs set up by the authority that issued the respective banknotes.

**Requirements
related to the order on bid and ask rates and the order on applied commissions**

1. The order on bid and ask rates for performing currency exchange operations in cash with individuals shall include at least the following:

- a) the number and the issue date of the order;
- b) the full name of the licensed bank /foreign exchange office /hotel. In case of foreign exchange bureau that is opened within the branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of the branch of the foreign exchange office, its name shall be indicated as well;
- c) the address of the foreign exchange bureau of the licensed bank /the address of the foreign exchange office /its branch /the address of the foreign exchange bureau of the hotel;
- d) the date (period) for which the exchange rates are established;
- e) the name and the numeric or alphabetic code of the traded foreign currency and the established bid and ask rates of these foreign currencies.

2. The order on commissions applied while performing currency exchange operations in cash with individuals shall include at least the following:

- a) the number and issue date of the order;
- b) the full name of the licensed bank /foreign exchange office /hotel. In case of foreign exchange bureau that is opened within the branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of the branch of the foreign exchange office, its name shall be indicated as well;
- c) the address of the foreign exchange bureau of the licensed bank /the address of the foreign exchange office /its branch /the address of the foreign exchange bureau of the hotel;
- d) the date from which the established commissions shall become effective;
- e) the name and amount/rate of commissions.

3. The order shall be worked out at least in two copies, shall be signed by the administrator or by the person authorized by him and shall be authenticated by the stamp of the foreign exchange office /its branch, of the hotel, of the licensed bank /its branch /secondary office within which the foreign exchange bureau is opened.

3¹. The order may be signed (authenticated) by applying the qualified advanced electronic signature of the administrator or of the person authorized by him, in accordance with the requirements of the legislation in the field of electronic document and electronic signature. The representation on a paper of the electronic order to be displayed in a visible spot for individuals shall be authenticated by handwritten signature of the authorized person (who shall ensure the correctness of the information) and by the stamp, as well as shall specify that it is a copy of the electronic document.

4. The first copy of the order shall be kept in the file of the foreign exchange entity. The second copy of the order shall be displayed in the premise of the foreign exchange entity in a visible spot for individuals.

4¹. In the event when, according to the internal regulations of the licensed bank /foreign exchange office, the commissions, bid and ask rates for foreign exchange bureaux of the licensed bank /branches of the foreign exchange office are set up centrally (by the head office etc.), the respective order shall be sent by fax or, being scanned, sent by email to the branches /secondary offices of the licensed bank /to the branches of the respective foreign exchange office or the information from the respective order shall be introduced in the information system of the licensed bank /foreign exchange office.

Upon receipt of the order via fax or email, a photocopy of the received document shall be made, and the person responsible for the activity of the respective subdivision or the person authorized by him shall authenticate the copies of the received order by his signature and by the stamp of the subdivision. A copy of the authenticated copy of the respective order shall be kept in the files of the subdivision, and another copy – shall be displayed in the premise of the foreign exchange entity, in a visible spot for individuals.

Upon receipt of information from the order via the information system of the licensed bank /foreign exchange office, the respective subdivision shall compile the order in accordance with the provisions of item 3 of this Attachment and shall proceed according to the provisions of item 4 of this Attachment.

5. The foreign exchange entity shall keep records of the orders referred to in item 1 and item 2 of this Attachment and shall ensure the storage of at least one copy of these orders. The mode of record keeping and the storage of the indicated orders shall be determined by the foreign exchange entity in accordance with the legislation in force, taking into account the particularities specified in item 6 of this Attachment.

6. The orders shall be recorded:

1) by each subdivision (head office, branch etc.) which, under the internal regulations, has the right to establish independently the applied foreign exchange rates/ commissions;

2) on a medium that allows the storage of information in a way accessible to the foreign exchange control authorities, upon their request, and in a form and a manner that ensure the compliance with the following requirements:

a) reliable and correct record of the orders;

b) easy finding of any correction or other amendments, as well as of the records` content before the respective corrections and amendments;

c) manipulation or alteration of the records` content to be impossible.

(Attachment no.22 modified by the Decision of the NBM no.179 of 18.09.2014)

(Attachment no.22 modified by the Decision of the NBM no.143 of 21.06.2012)

(Attachment no.22 modified by the Decision of the NBM no.233 of 27.10.2011)

The procedures of filling in the Register of the Identified Individuals

1. The Register of the Identified Individuals shall be filled in by the cashier of the foreign exchange bureau of the licensed bank, of the foreign exchange office /its branch, of the foreign exchange bureau of the hotel while performing currency exchange operations in cash with individuals in the case specified under item 112 of this Regulation. The register drawn up manually shall be filled in by using a pen.

2. (name of the foreign exchange entity and of its subdivision): the complete name of the licensed bank /foreign exchange office/ hotel shall be indicated. In case of foreign exchange bureau opened within the branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of branch of the foreign exchange office, its name shall be indicated as well.

3. (address of carrying out the currency exchange activity): the address where the foreign exchange bureau of the licensed bank /foreign exchange office /its branch /the foreign exchange bureau of the hotel carries out the currency exchange activity in cash with individuals shall be indicated.

4. (IDNO): the state identification number (IDNO) assigned according to the acting legislation to the licensed bank /foreign exchange office /hotel shall be indicated.

5. (name and surname of the cashier): the name and surname of the cashier who fills in the register shall be indicated.

6. Registration number of CCR assigned by the fiscal authority: the number of the cash control register assigned by the fiscal inspectorate while registering or re-registering CCR shall be indicated.

7. The information of items 2 - 6 of these procedures shall be indicated in the register while performing the first currency exchange operation in cash with individual that implies the filling in of this register.

8. Column 1 „no.”: the ordinal number of the entry shall be indicated.

9. Column 2 „Number of the cash voucher (currency exchange bulletin)”: the number of the cash voucher (currency exchange bulletin) shall be indicated.

10. Column 3 „Name and surname of the individual who performed the operation”: it shall be indicated the name and surname of individual who performed the operation.

11. Column 4 „Name and surname of the individual in whose name the operation was performed”: it shall be indicated the name and surname of the individual in whose name the operation was performed. It shall be simultaneously filled in with column 3, in case the currency exchange operation is performed in the name of other individual.

12. The register shall be signed by the cashier at the end of his working day. Following the verification, the register shall be signed by the accountant who performed the verification, by indicating his name and surname.

(Attachment no.23 modified by the Decision of the NBM no.233 of 27.10.2011)

(name of the foreign exchange entity and of its subdivision)

(address of carrying out the currency exchange activity)

(IDNO)

CURRENCY EXCHANGE BULLETIN

no. _____

Date _____

Time _____

I. Information on the individual who performs the operation:

(name and surname of the individual, the date and place of birth)

(identity document data)

(identification number of the individual)

(address of the individual)

(data of the power of attorney)

(other information)

II. Information on the individual in whose name the operation is performed:

(name and surname of the individual, the date of birth)

(identity document data)

(identification number of the individual)

(address of the individual)

(other information)

III. Information on the operation:

(description of operation)

Funds received from the client		Obligatory additional payment	Commissions		Transaction rate		Funds paid to the client	
Name of the currency	Amount	Amount (in Moldovan Lei)	Name of the currency	Amount	Quoted quantity	Exchange rate	Name of the currency	Amount

(signature of the client)

(signature of the cashier)

(name and surname of the cashier)

The procedures of filling in the currency exchange bulletin

1. The currency exchange bulletin shall be drawn up in two copies by the cashier of the foreign exchange bureau of the licensed bank, of the foreign exchange office /its branch, of the foreign exchange bureau of the hotel. The currency exchange bulletin drawn up manually shall be filled in by using a pen and a carbon-paper. The both copies of the currency exchange bulletin shall be signed without using a carbon- paper.

2. (name of the foreign exchange entity and of its subdivision): the complete name of the licensed bank /foreign exchange office/ hotel shall be indicated. In case of foreign exchange bureau opened within the branch /secondary office of the licensed bank, the name of the respective branch /secondary office shall be indicated. In case of branch of the foreign exchange office, its name shall be indicated as well.

3. (address of carrying out the currency exchange activity): the address where the foreign exchange bureau of the licensed bank /foreign exchange office /its branch /the foreign exchange bureau of the hotel carries out the currency exchange activity in cash with individuals shall be indicated.

4. (IDNO): the state identification number (IDNO) assigned according to the acting legislation to the licensed bank /foreign exchange office /hotel shall be indicated.

5. no.: the ordinal number of the currency exchange bulletin, which shall correspond to the ordinal number of the cash voucher shall be indicated.

6. Date: the issue date (day, month and year) of the currency exchange bulletin, which shall correspond to the date of the cash voucher, shall be indicated.

7. Time: the exact time (hour and minutes) of issue of the currency exchange bulletin, which shall correspond to the time mentioned in the cash voucher, shall be indicated.

8. I. Information on the individual who performs the operation: this information shall be indicated if at the performance of the operation the identification of the individual is required.

9. (name and surname of the individual, the date and place of birth): the name, surname, date and place of birth of the individual who directly performs the operation shall be indicated according to the identity document.

10. (identity document data): the following data of the identify document of the individual who directly performs the operation shall be indicated: the series, number, issue date and the name of the country, of the authority (no. of the office) that issued the document.

11. (identification number of the individual¹): it shall be filled in if the submitted identity document contains the state identification number of the individual. The state identification number indicated in the identity document of the individual who directly performs the operation shall be indicated.

¹ According to the provisions of the Law no.273-XIII of November 9, 1994 on the Identity Documents from the National Passport System, the identity documents from the national passport system (all types of passports, of identity cards, of residence permits and of traveller's documents) contain the identification number of the individual.

12. (address of the individual): the domicile indicated in the identity document of the individual who directly performs the operation shall be written. In the event that the submitted identity document does not contain information on the domicile, this information shall be indicated according to data presented by the respective individual. In the event that the identity document contains information on the respective individual's residence, its residence shall also be indicated.

13. (data of the power of attorney): it shall be filled in if the operation is performed in the name of other individual. The number, date and place (country, city etc.) of issuance of the power of attorney, as well as the name and surname of the competent person who authenticated this power of attorney shall be indicated.

13¹. (other information): the citizenship and, where appropriate, the public position held by the individual who directly performs the operation, as well as other information shall be indicated.

14. II. Information on the individual in whose name the operation is performed: this information shall be filled in simultaneously with section „The information on the individual who performs the operation”, in case the operation is performed in the name of other individual

15. (name and surname of the individual, the date of birth): the name, surname and the date of birth of the individual in whose name the operation is performed shall be indicated according to the submitted power of attorney.

16. (identification number of the individual): it shall be filled in if the submitted power of attorney contains the state identification number of the individual. The state identification number of the individual in whose name the operation is performed shall be written as indicated in the power of attorney.

17. (identity document data): the data of the identity document of the individual in whose name the operation is performed shall be written as indicated in the submitted power of attorney, and namely: the series, number, issue date, the name of the country and of the authority (no. of the office) that issued the document.

18. (address of individual): the address of the individual in whose name the operation is performed shall be written as indicated in the power of attorney.

18¹. (other information): the citizenship and, where appropriate, the public position held by the individual in whose name the operation is performed, as well as other information shall be indicated.

19. III. Information on the operation: the operation description shall be indicated (for instance: the sale operation of foreign currency in cash against Moldovan Lei, the purchase operation of foreign currency in cash against Moldovan Lei, the sale operation of traveller's cheques against Moldovan Lei etc.). The name, series and the numbers of cheques shall be indicated while performing operations with traveller's cheques.

20. „Funds received from the client”:
1) Column „Name of the currency” shall indicate:
a) the name of the foreign currency /national currency or code (numeric or alphabetic) of the foreign currency /national currency received from the client,
b) the „traveller's cheque” shall be additionally indicated - in case the traveller's cheque is received;

2) Column „Amount” shall indicate:
a) the total amount of the foreign currency received from the client, including the amount of commissions – while purchasing foreign currency from the client,

b) the total amount of Moldovan Lei received from the client, that includes the amount of the obligatory additional payment and the amount of commissions – while selling foreign currency to the client.

21. „Obligatory additional payment”: the amount of funds collected obligatorily as additional payment, according to the provisions of the Law on republican fund and local funds of social support of the population no.827-XIV of February 18, 2000, shall be indicated.

22. „Commissions”:

a) Column „Name of the currency” shall indicate the name or code (numeric or alphabetic) of the currency in which the commission is collected;

b) Column „Amount” shall indicate the amount of the commission that is collected according to the tariffs set up for the currency exchange operations in cash with individuals.

23. „Transaction rate”:

a) Column „Quoted quantity” shall indicate the quantity of units of foreign currency for which the exchange rate is indicated (for instance: 1 USD, 100 USD, 100 HUF);

b) Column „Exchange rate” shall indicate the rate of exchange of the quoted quantity of the foreign currency against Moldovan Lei in accordance with the order on bid and ask rate for performing currency exchange operations in cash with individuals.

24. „Funds paid to the client”:

1) Column „Name of the currency” shall indicate:

a) the name or code (numeric or alphabetic) of the currency paid to the client,

b) the „traveller’s cheque” shall be additionally indicated – in case the traveller’s cheque is issued;

2) Column „Amount” shall indicate:

a) the total amount of Moldovan Lei paid to the client – while purchasing foreign currency from the client,

b) the total amount of foreign currency paid to the client – while selling foreign currency to the client.

25. Each copy of the currency exchange bulletin shall be signed by the individual who performed the operation and by the cashier of the foreign exchange bureau of the licensed bank, of the foreign exchange office /its branch, of the foreign exchange bureau of the hotel, by indicating the name and surname of the cashier.

(Attachment no.24 modified by the Decision of the NBM no.233 of 27.10.2011)

(Attachment no.24¹ abrogated by the Decision of the NBM no.179 of 18.09.2014)

(Attachment no.24¹ introduced by the Decision of the NBM no.233 of 27.10.2011)

form code 04107

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(IDNO)

Model code	Periodicity	Form type	Correct. no.
	9		

To be submitted daily, not later than 10:00 AM of the reporting day

_____ *(name of the foreign exchange office)*

_____ *(legal adress of the foreign exchange office)*

The NBM license _____ *(number and date of the NBM license)*

REPORT
on bid rates and ask rates of major foreign currencies
set up by the foreign exchange office
for _____ 20__

Code of the FEO/branch	Foreign currency code	Foreign currency name	Bid rates	Ask rates
A	B	C	1	2
Head office of the foreign exchange office				
	840	U.S. dollar		
	978	Euro		
	643	Russian rouble		
	946	Romanian Leu		
	980	Ukrainian hryvnia		
Branch (name and address of the branch)				
	840	U.S. dollar		
	978	Euro		
	643	Russian rouble		
	946	Romanian Leu		
	980	Ukrainian hryvnia		
Branch (name and address of the branch)				
	840	U.S. dollar		
	978	Euro		
	643	Russian rouble		
	946	Romanian Leu		
	980	Ukrainian hryvnia		

Date of compiling “ _____ ” _____ 20__

Executor and the telephone number _____

NOTE: The Report is compiled according to:

1. the Decision of the Council of Administration of the NBM no.233 of October 27, 2011
2. the Regulation on foreign exchange entities, Attachemnt no. 24¹ (Decision of the Council of Administration of the NBM no.53 of March 5, 2009, Official Monitor of the Republic of Moldova, 2009, no.62-64, Art.269)

**The procedures of compiling
the Report on bid rates and ask rates
of major foreign currencies set up by the foreign exchange office**

Chapter I. General provisions

1. The Report on bid rates and ask rates of major foreign currencies set up by the foreign exchange office shall be compiled and submitted by the foreign exchange office daily (except non-working days), at the latest at 10.00 AM of the reporting day.

2. The report shall reflect the information on bid rates and ask rates of major foreign currencies set up in order to perform currency exchange operations in cash with individuals in the reporting day by the foreign exchange office and, if any, by the branch of the foreign exchange office.

Chapter II. The introductory part of the report

3. (IDNO): the state identification number (IDNO) of the foreign exchange office assigned in accordance with the acting legislation shall be indicated.

4. (name of the foreign exchange office): the full name of the foreign exchange office shall be indicated.

5. (legal address): the legal address of the foreign exchange office shall be indicated.

6. The NBM license: the number of the license for carrying out the currency exchange activity in cash with individuals issued by the National Bank of Moldova, as well as its issue date shall be indicated.

Chapter III. The filling in the report

7. In the report the information shall be indicated separately for the head office of the foreign exchange office and separately for each its branch, if any. In this respect, the numerical code of the foreign exchange office and the numerical codes of its branches assigned by the National Bank of Moldova shall be indicated in column A.

8. In the report the information shall be indicated as follows:

a) for major foreign currencies: U.S. dollar, Euro, Russian rouble, Romanian Leu, Ukrainian hryvnia;

b) separately for the bid rates of foreign currency (column 1) and for the ask rates of foreign currency (column 2).

9. The bid rates and ask rates of major foreign currencies shall be indicated in report with four decimal digits.

(Attachment no. 24² modified by the Decision of the NBM no.143 of 21.06.2012)

(Attachment no.24² introduced by the Decision of the NBM no.233 of 27.10.2011)

entities

form code 04108

(IDNO)

Model code	Periodicity	Form type	Correct.no.
	9		

_____ day
(name of the hotel)

To be submitted daily, not later than 10:00 AM of the reporting

_____ *(legal address of the hotel)*

The NBM license _____
(number and date of the NBM license)

Hotel code _____

REPORT
on bid rates of major foreign currencies set up by the hotel
for _____ 20__

Foreign currency code	Foreign currency name	Bid rates
A	B	1
840	U.S. dollar	
978	Euro	
643	Russian rouble	
946	Romanian Leu	
980	Ukrainian hryvnia	

Date of compiling “ _____ ” _____ 20__

Executor and the telephone number _____

NOTE: The Report is compiled according to:

1. the Decision of the Council of Administration of the NBM no. 233 of October 27, 2011
2. the Regulation on foreign exchange entities, Attachment no. 24³ (Decision of the Council of Administration of the NBM no.53 of March 5, 2009, Official Monitor of the Republic of Moldova, 2009, no.62-64, Art.269)

**The procedures of compiling
the Report on bid rates of major foreign currencies set up by the hotel**

Chapter I. General provisions

1. The Report on bid rates of major foreign currencies set up by the hotel shall be compiled and submitted by the hotel daily (except non-working days), at the latest at 10.00 AM of the reporting day.

2. The report shall reflect the information on bid rates of major currencies set up for the reporting day in order to perform operations of buying foreign currency from individuals via the foreign exchange bureau of the hotel.

Chapter II. The introductory part of the report

3. (IDNO): the state identification number (IDNO) of the hotel assigned in accordance with the acting legislation shall be indicated.

4. (name of the hotel): the full name of the hotel shall be indicated.

5. (legal address of the hotel): the address of the hotel shall be indicated.

6. The NBM license: the number of the license for carrying out the currency exchange activity in cash with individuals issued by the National Bank of Moldova, as well as its issue date shall be indicated.

7. Hotel code: the numerical code of the hotel assigned by the National Bank of Moldova, shall be indicated.

Chapter III. The filling in the report

8. In the report the information on bid rates shall be indicated for major foreign currencies: U.S. dollar, Euro, Russian rouble, Romanian Leu, Ukrainian hryvnia.

9. The bid rates of major foreign currencies shall be indicated in report with four decimal digits.

*(Attachment no.24³ modified by the Decision of the NBM no.179 of 18.09.2014)
(Attachment no.24³ introduced by the Decision of the NBM no.233 of 27.10.2011)*

(Attachment no.25 abrogated by the Decision of the NBM no.179 of 18.09.2014)

form code 04100

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(IDNO)

Model code	Periodicity	Form type	Correct. no.
	2		

To be submitted monthly, at the latest on the 5th of the month following the reporting month

(name of the foreign exchange office)

(legal address)

The NBM license _____
(number and date of the NBM license)

Report
on currency exchange operations performed by the foreign exchange office
for _____ 20____
(month and year to be indicated)

Chapter	Compartment	Article	Foreign currency code	Name of the indicators	Purchases			Sales		
					Foreign currency	Equivalent in Moldovan Lei	Number of operations	Foreign currency	Equivalent in Moldovan Lei	Number of operations
A	B	C	D	E	1	2	3	4	5	6
1				Foreign exchange operations	X	X	X	X	X	X
	1			Currency exchange operations in cash with individuals :	X	X	X	X	X	X
		1		- cash in:	X	X	X	X	X	X
			840	US dollars						
								
		2		- traveller's cheques in:	X	X	X	X	X	X
			840	US dollars						
								
	2			Foreign exchange operations with licensed banks:	X	X	X	X	X	X
		1	840	US dollars						
			...							
9	9	9	999	Check-sum digit						

Model code	Periodicity	Form type	Correct. no.
	2		

Chapter	Currency code	Name of the indicators	Vault balances		Balances on banks' accounts		
			Foreign currency	Equivalent in Moldovan Lei	Foreign currency	Equivalent in Moldovan Lei	Number of accounts
A	B	C	1	2	3	4	5
2		Balances in Moldovan Lei and in foreign currency of the foreign exchange office at the end of the month	X	X	X	X	X
	498	Moldovan Lei	X		X		
	840	US dollars					
					
9	999	TOTAL	X		X		

Administrator _____

Chief-accountant _____

Stamp

Date of compiling “ ____ ” _____ 20__

Executor and the phone number _____

NOTE: The report is compiled according to:

1. the Decision of the Council of Administration of the NBM no.233 of October 27,2011

2. the Regulation on foreign exchange entities, Attachment no.26 (Decision of the Council of Administration of the NBM no.53 of March 5, 2009, Official Monitor of the Republic of Moldova , 2009, no.62-64, Art.269)

**The procedures of compiling
the Report on currency exchange operations performed
by the foreign exchange office**

Chapter I. General provisions

1. The Report on currency exchange operations performed by the foreign exchange office shall be compiled and submitted by the foreign exchange office monthly, at the latest on the 5th of the month following the reporting month.

2. The report shall reflect the information on:

a) the currency exchange operations in cash with individuals and purchase and sale operations of foreign currency with licensed banks performed during the reporting period while carrying out the currency exchange activity in cash with individuals (chapter 1);

b) the balances of funds in vault and on the bank accounts of the foreign exchange office, including, if exists, on the bank accounts of its branches, at the end of the reporting period (chapter 2).

3. The report shall include also the respective information with regard to all branches of the foreign exchange office.

4. The report shall indicate the amounts in Moldovan Lei and in foreign currency in integer numbers.

Chapter II. Introductory part of the report

5. (IDNO): the state identification number (IDNO) of the foreign exchange office assigned according to the acting legislation shall be indicated.

6. (name of the foreign exchange office): the complete name of the foreign exchange office shall be indicated.

7. (legal address): the legal address of the foreign exchange office shall be indicated.

8. The NBM license: the number of the license for carrying out the currency exchange activity in cash with individuals issued by the National Bank of Moldova, as well as its issue date shall be indicated.

Chapter III. The filling in chapter 1 of the report

9. Chapter 1 „Foreign exchange operations” shall reflect the information on currency exchange operations in cash with individuals (compartment 1) and purchase and sale operations of foreign currency performed with the licensed banks (compartment 2).

10. Chapter 1 shall indicate the respective information for each foreign currency in which operations were performed.

11. Compartment 1 „Currency exchange operations in cash with individuals” shall separately indicate the information on:

a) purchase and sale operations of cash in foreign currency (article 1) and

b) purchase and sale operations of traveller’s cheques in foreign currency (article 2).

12. Compartment 1, columns 1 and 4 „Foreign currency” shall indicate the amounts in original currency as follows:

a) column 1 shall indicate the amounts in foreign currency purchased during the reporting period;

b) column 4 shall indicate the amounts in foreign currency sold during the reporting period.

13. Compartment 1, columns 2 and 5 „Equivalent in Moldovan Lei” shall indicate the equivalent in Moldovan Lei as follows:

a) column 2 shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 1, determined by applying the bid rates set up daily by the foreign exchange office, including for each of its branch;

b) column 5 shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 4, determined by applying the ask rates set up daily by the foreign exchange office, including for its of its branch.

14. Compartment 1, columns 3 and 6 „Number of operations” shall indicate the number of the respective operations as follows:

a) column 3 shall indicate the number of purchase operations of cash in foreign currency and of traveller’s cheques in foreign currency performed during the reporting period;

b) column 6 shall indicate the number of sale operations of cash in foreign currency and of traveller’s cheques in foreign currency performed during the reporting period.

15. Compartment 2 „Foreign exchange operations with licensed banks” shall indicate the information on purchase and sale operations of foreign currency performed during the reporting period with licensed banks while carrying out the currency exchange activity in cash with individuals.

16. Compartment 2, columns 1 and 4 „Foreign currency” shall indicate the amounts in original currency as follows:

a) column 1 shall indicate the amounts in foreign currency purchased from licensed banks during the reporting period;

b) column 4 shall indicate the amounts in foreign currency sold to licensed banks during the reporting period.

17. Compartment 2, columns 2 and 5 „Equivalent in Moldovan Lei” shall indicate the equivalent in Moldovan Lei as follows:

a) column 2 shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 1, at the exchange rates applied while performing each operation with the licensed bank;

b) column 5 shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 4, at the exchange rates applied while performing each operation with the licensed bank.

18. Compartment 2, columns 3 and 6 „Number of operations” shall indicate the number of the respective operations as follows:

a) column 3 shall indicate the number of purchase operations of foreign currency with licensed banks performed during the reporting period;

b) column 6 shall indicate the number of sale operations of foreign currency with licensed banks performed during the reporting period.

19. In each column (1-6) the line „Check-sum digit” shall indicate the check-sum digit, which is calculated by summing up all data from the respective column.

Chapter IV. The filling in chapter 2 of the report

20. Chapter 2 „Balances in Moldovan Lei and in foreign currency of the foreign exchange office at the end of the month” shall reflect the balances in Moldovan Lei and in foreign currency

that at the end of the reporting period (the last calendar day) are both in the vault of the head office and, if exists, of the branches of the foreign exchange office, and on the bank accounts of the foreign exchange office, including, if exists, on the bank accounts of its branches.

21. Chapter 2 shall indicate the respective information for each foreign currency in which the foreign exchange office had the respective balances.

22. Column 1 „In foreign currency” shall indicate the amounts in foreign currency that are in the vault of the foreign exchange office (including at all branches, if exists) at the end of the last calendar day of the reporting period.

23. Column 2 „Equivalent in Moldovan Lei” shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 1, determined by applying the official exchange rates of Moldovan Lei against the foreign currencies valid on the last calendar day of the reporting period.

24. Column 3 „In foreign currency” shall indicate the amounts in foreign currency that are on the bank accounts of the foreign exchange office, including, if exists, on the bank accounts of its branches, at the end of the last calendar day of the reporting period.

25. Column 4 „Equivalent in Moldovan Lei” shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 3, determined by applying the official exchange rates of Moldovan Lei against foreign currencies valid on the last calendar day of the reporting period.

26. Column 5 „Number of accounts” shall indicate the number of accounts in the respective currency opened by the foreign exchange office (including for the branches, if exists) with licensed banks.

27. In each column 2, 4 and 5 the line „Total” shall indicate the grand total, which is calculated by summing up all data from the respective column.

Chapter V. Final provisions

28. The report shall be signed by the administrator and the chief-accountant of the foreign exchange office and shall be certified by applying the stamp of the foreign exchange office.

(Attachment no.26 modified by the Decision of the NBM no.233 of 27.10.2011)

form code 04101

(IDNO)

Model code	Periodicity	Form type	Correct. no.
	2		

To be submitted monthly, at the latest on the 5th of the month following the reporting month

_____ (name of the hotel)

_____ (legal address)

The NBM license _____ (number and date of the NBM license)

Report
on currency exchange operations performed by the hotel
for _____ 20____
(month and year to be indicated)

Chapter	Article	Foreign currency code	Name of indicators	Volume of operations		
				Foreign currency	Equivalent in Moldovan Lei	Number of operations
A	B	C	D	1	2	3
1			Purchase operations of foreign currency with individuals	X	X	X
	1		- cash in:	X	X	X
		840	US dollars			
				
	2		- traveller's cheques in:	X	X	X
		840	US dollars			
				
2			Operations of depositing to the licensed bank of purchased cash in foreign currency	X	X	X
	1	840	US dollars		X	
		...			X	
9	9	999	Check-sum digit			

Administrator _____

Chief-accountant _____

Stamp

Date of compiling " ____ " _____ 20____

Executor and phone number _____

NOTE: The report is compiled according to:

1. The Regulation on foreign exchange entities (Decision of the Council of Administration of the NBM no.53 of March 5, 2009)

**The procedures of compiling
the Report on currency exchange operations
performed by the hotel**

Chapter I. General provisions

1. The Report on foreign exchange operations performed by the hotel shall be compiled and submitted by the hotel monthly, at the latest on the 5th of the month following the reporting month.

2. The report shall reflect the information on purchase operations of foreign currency with individuals, performed via the foreign exchange bureau of the hotel, as well as operations of depositing by the hotel to the licensed bank of cash in foreign currency purchased while carrying out the currency exchange activity in cash with individuals.

3. The amounts in Moldovan Lei and in foreign currency shall be indicated in integer numbers.

4. The report shall indicate the respective information for each foreign currency in which operations were performed.

Chapter II. Introductory part of the report

5. (IDNO): the state identification number (IDNO) of the hotel assigned according to the acting legislation shall be indicated.

6. (name of the hotel): the complete name of the hotel shall be indicated.

7. (legal address): the legal address of the hotel shall be indicated.

8. The NBM license: the number of the license for carry out the currency exchange activity in cash with individuals, issued by the National Bank of Moldova, as well as issue date shall be indicated.

Chapter III. Filling in chapter 1 of the report

9. Chapter 1 „Purchase operations of foreign currency with individuals” shall reflect the information on purchase operations of foreign currency with individuals performed during the reporting period.

10. Chapter 1 shall separately indicate the information for the reporting period as follows:

- a) purchase operations of cash in foreign currency (article 1) and
- b) purchase operations of traveller’s cheques in foreign currency (article 2).

11. Chapter 1, column 1 „Foreign currency” shall indicate in original currency the amounts in foreign currency purchased from individuals during the reporting period.

12. Chapter 1, column 2 „Equivalent in Moldovan Lei” shall indicate the equivalent in Moldovan Lei of the amounts in foreign currency reflected in column 1, determined by applying the bid rates set up daily by the hotel for the foreign exchange bureau.

13. Chapter 1, column 3 „Number of operations” shall indicate the number of purchase operations of cash in foreign currency and of traveller’s cheques in foreign currency with individuals during the reporting period.

Chapter IV. Filling in chapter 2 of the report

14. Chapter 2 „Operations of depositing to the licensed bank of purchased cash in foreign currency” shall indicate the information on operations of depositing to the licensed bank of cash in foreign currency purchased while carrying out the currency exchange activity in cash with individuals, in order to be entered into accounts of the hotel.

15. Chapter 2, column 1 „Foreign currency” shall indicate in original currency the amounts of cash in foreign currency purchased while carrying out the currency exchange activity in cash with individuals and deposited to the licensed bank for entering into the accounts of the hotel.

16. Chapter 2, column 3 „Number of operations” shall indicate the number of operations of depositing to the licensed bank of cash in foreign currency during the reporting period, in order to be entered into the accounts of the hotel.

17. In each column (1-3) the line „Check-sum digit” shall indicate the check-sum digit that is calculated by summing up all data from the respective column.

Chapter V. Final provisions

18. The report shall be signed by the administrator and the chief-accountant, responsible for the activity of foreign exchange bureau of the hotel, and shall be certified by applying the stamp of the hotel.

**Recommendations
on the elaboration by the foreign exchange offices and hotels
of programs on prevention and combating money laundering
and terrorism financing**

Chapter I. General provisions

1. The subjects of the present Recommendations are the foreign exchange offices, as well as the hotels which, according to the licenses of the National Bank of Moldova, have foreign exchange bureaux, within the context of the activity of these foreign exchange bureaux.

2. The foreign exchange bureaux of licensed banks, being a part of the banks, fall under the provisions of the Regulation on banks` activity in the field of prevention and combating money laundering and terrorism financing, approved by the Decision of the Council of Administration of the National Bank of Moldova no.172 as of August 4, 2011.

3. Each foreign exchange office, hotel shall elaborate and implement its own program on prevention and combating money laundering and terrorism financing (hereinafter – the PCMLTF Program) with the view of protecting against the implication in operations related to money laundering and terrorism financing, of promoting ethical and professional standards in the respective sector, of preventing foreign exchange offices and foreign exchange bureaux of the hotels from being used, intentionally or unintentionally, by organized criminal groups or their associates in the process of money laundering and terrorism financing.

4. While elaborating the PCMLTF Program, the foreign exchange office, the hotel shall be obliged to comply with the provisions of the Law on prevention and combating money laundering and terrorism financing no.190-XVI of July 26, 2007 (hereinafter - the Law no.190-XVI of July 26, 2007), of these Recommendations, of other normative acts in the field of prevention and combating money laundering and terrorism financing and shall adapt it to the peculiarity of its activity.

5. The purpose of these Recommendations is to guide the foreign exchange offices and the hotels on the elaboration of their own PCMLTF Program. These Recommendations establish general principles, which the foreign exchange office, hotel shall follow while elaborating in details its own PCMLTF Program, taking into account the peculiarity of its activity.

6. The administrator of the foreign exchange office, the administrator of the hotel, responsible for the activity of the foreign exchange bureau of the hotel, shall be responsible for the elaboration, updating and ensuring the implementation of an adequate internal Program on Prevention and Combating Money Laundering and Terrorism Financing.

Chapter II. General provisions on PCSBFT Program

7. The PCSBFT Program elaborated by the foreign exchange office, the hotel shall provide for, but shall not be limited to the following:

- a) management`s duties;
- b) policies and procedures on the identification and identity verification of the client (“know your customer” rules);
- c) procedures on the record keeping and the keeping of information;

d) procedures on ensuring the compliance of the activity with the legislation requirements in the field of prevention and combating money laundering and terrorism financing and with the PCMLTF Program;

e) procedures on reporting in the field of prevention and combating money laundering and terrorism financing;

f) the procedure of collaboration with the Office on prevention and combating money laundering (hereinafter – OPCML) and with other competent authorities.

Chapter III. The management's duties

8. The management of the foreign exchange office, of the hotel is responsible at least for:

a) the nomination of the person responsible for ensuring the compliance of the internal policies and procedures with the legislation requirements in the field of prevention and combating money laundering and terrorism financing, for ensuring the continuous implementation of the PCMLTF Program (hereinafter – Compliance Officer);

b) the monitoring of the process of implementation of the provisions of the legislation in the field of prevention and combating money laundering and terrorism financing and of the internal the PCMLTF Program;

c) the ensuring of undertaking of the necessary measures in order to eliminate the shortcomings /infringements identified in the field of prevention and combating money laundering and terrorism financing.

Chapter IV. "Know your customer" rules

9. The foreign exchange office, the hotel shall elaborate policies and procedures on identification and identity verification of the client, which shall include at least the following:

a) the cases when the individual shall be identified and whose identity shall be verified;

b) the procedure on identification and identity verification of individuals;

c) the procedure on registering the information about individuals, including the information about beneficial owners.

10. The PCMLTF Program shall specify the cases (at least those mentioned under item 96 of the Regulation on foreign exchange entities) and the procedures of identification and identity verification of individuals that directly perform operations, as well as of individuals in whose name the operations are performed (beneficial owners).

11. The foreign exchange offices, the hotels shall elaborate and implement internal procedures able to determine the cases when the transaction is carried out by the individual through several operations (for instance, the individual requires to carry out, through one or more operational windows (one or more branches), the currency exchange transaction through more operations, the total amount of which is equal or exceeds the equivalent of 50000 Moldovan Lei etc.).

12. In the event that according to the legislation individuals shall be identified, the operations can not be performed, if the individuals' identity is not verified.

13. For an adequate identification of the individual, including of the beneficial owner, all the necessary information shall be obtained. For this purpose, the following data shall be find out at least: the name and surname of the individual; the date and place of birth; the domicile/residence; the identification number; the type of the identity document; the citizenship and, where appropriate, the held public position.

14. In order to verifying the identity of the individual who directly performs the operation, the cashier of the foreign exchange office (its branch), of the foreign exchange bureau of the

hotel shall require from the individual the submission of an identity document, provided for in item 97 of the Regulation on foreign exchange entities. The identity documents shall be submitted in original and shall be valid on the date of submission.

In order to ensure the compliance with the legislation in the field of prevention and combating money laundering and terrorism financing, depending on the amount of the operation and /or on the associated risk, other documents may also be required /other real and independent sources may be used to verify the information submitted by the individual, if the identity document does not contain the respective information.

15. The identification and the identity verification of the individual who directly performs the operation shall include at least:

- a) the obtaining and the verification of the information regarding the individual's identity;
- b) the verification of the correspondence of the photo from the identity document with the individual who submitted this document.

15¹. In the event when within the operation the individual is subject to identification and this person is a politically exposed person, the foreign exchange office, the hotel shall ensure the adoption and application of adequate measures in order to establish the source of funds involved in the operation, as well as shall request the information on family members and on persons associated with the politically exposed person in the same way as the foreign exchange office, the hotel identifies its customer under the provisions of the Regulation on foreign exchange entities. The cashier of the foreign exchange office (its branch), foreign exchange bureau of the hotel shall record the obtained information in order to make it available to the competent authorities.

16. In the event that operation is performed in the name of another individual (the beneficial owner), the beneficial owner shall be also identified and reasonable measures shall be undertaken in order to verify his identity. For this purpose, additionally to the identity documents of the authorized person, the cashier of the foreign exchange office (its branch), of the foreign exchange bureau of the hotel shall require from the individual, who directly performs the operation, the valid power of attorney, legalized according to the procedure established by the legislation.

In order to ensure the compliance with the legislation in the field of prevention and combating money laundering and terrorism financing, depending on the amount of the operation and /or on the associated risk, other documents may also be required /other real and independent sources may be used to verify the information submitted by the individual, if the power of attorney does not contain the respective information.

17. The identification and the identity verification of the beneficial owner shall include at least:

- a) the obtaining and the verification of the information regarding the beneficial owner from the power of attorney;
- b) the verification of the existence in the power of attorney of the information about the number, date and place of issuing the power of attorney, as well as the information on the name and surname of the competent person that certified the power of attorney.

18. The cashier of the foreign exchange office (its branch), of the foreign exchange bureau of the hotel shall pay attention to the complex and unusual operations, shall obtain the information regarding the purpose of such operations and shall register the obtained information in order to make it available to the competent authorities.

19. The information about the identified individuals shall be registered in the documents that are drawn up by the cashier of the foreign exchange office (its branch), of the foreign exchange bureau of the hotel, at least in the currency exchange bulletins, the Register of

Identified Individuals. The minimum volume of the information that shall be registered in the mentioned documents are provided for by the Regulation on foreign exchange entities.

20. The internal PCMLTF Program shall contain provisions related to the obligation of the cashier of the foreign exchange office (its branch), foreign exchange bureau of the hotel not to perform the operation, in the event the individual has to be identified, but it is not possible to comply with the requirements related to the identification and verification of the identity of the individual, including of the beneficial owner, under the provisions of the Regulation on foreign exchange entities, as well as, where appropriate, if it is not possible to obtain the information on the complex and unusual transactions. Such circumstances shall be reported to OPCML in accordance with Article 8 of the Law no.190-XVI of July 26, 2007.

20¹. The internal PCMLTF Program shall contain provisions related to the continuous monitoring of operations performed by customers in order to identify the complex and unusual operations, as well as suspicious transactions.

Chapter V. Procedures on record keeping and the keeping of information

21. The PCMLTF Program shall contain rules and procedures on recording and keeping the information regarding the identity of individuals, including of beneficial owners, and the performed operations.

22. The rules and procedures related to the record keeping and the keeping of information on operations and identified clients shall include at least the following:

- a) the object of the record keeping;
- b) the content of the record keeping (registrations);
- c) the time of performing the registrations;
- d) the terms of keeping the information and documents.

23. All operations performed by the foreign exchange office (including its branches), the foreign exchange bureau of the hotel, as well as the identified individuals are subject to the record keeping, in the context of the legislation on prevention and combating money laundering and terrorism financing.

24. While describing the content of registrations in the PCMLTF Program the following shall be indicated:

- a) all details related to the performed operations;
- b) the types of identity documents /power of attorney and other documents, which shall be submitted by the individuals, and relevant data regarding the individuals from these documents.

25. While specifying the information mentioned under item 24 of these Recommendations, at least all information related to the operations and identified persons, which is obligatory according to the Regulation on foreign exchange entities for filling in the currency exchange bulletin, taking into account the provisions of chapter IV of these Recommendations as well, shall be indicated.

26. The registrations related to the operation and identified individuals shall be done while performing operation, but not later than the funds are paid to the individual.

27. The provisions of the PCMLTF Program shall stipulate the documents to be kept by the foreign exchange office (including its branch)/hotel based on the Law no.190-XVI of July 26, 2007, shall establish the term of keeping the mentioned documents, which can not be less than 5 years after the operations are completed, as well as shall specify that upon the request of

the OPCML, of the National Bank of Moldova the period of keeping the documents shall be extended to the requested period.

28. The documents to be kept shall include at least the documents related to the record keeping of operations and of identified individuals. While specifying the respective documents which shall be kept, at least the documents provided for by the Regulation on foreign exchange entities and the documents in which the information provided for in items 15¹ and 18 of these Recommendations is registered, shall be listed.

29. The foreign exchange office, the hotel shall ensure that the documents and the information about the performed operations and the identified individuals to be accessible and available in due time, upon request, to the OPCML and to other competent authorities.

29¹. In order to fulfill the obligations in the field of prevention and combating money laundering and terrorism financing, the foreign exchange office, hotel shall ensure the access of its cashiers, Compliance Officer and other appropriate staff to the identification data of the clients, to the documents on performed operations and to other relevant information.

Chapter VI. Procedures on ensuring the compliance of the activity with the legislation requirements in the field of prevention and combating money laundering and terrorism financing and with the PCSBFT Program

30. The foreign exchange office shall have special provisions related to the establishment and implementation of internal control procedures on the observance and implementation by the employees of the foreign exchange office (its branches) of the legislation in the field of prevention and combating money laundering and terrorism financing and of the PCSBFT Program.

31. The hotel shall have special provisions related to the establishment and implementation of internal control procedures on the observance and implementation by the employees of the foreign exchange bureau and the persons responsible for organizing and carrying out the activity of the foreign exchange bureau (hereinafter – employees of the foreign exchange bureau of the hotel) of the legislation in the field of prevention and combating money laundering and terrorism financing and of the PCSBFT Program.

32. The main elements of the internal control procedures on the observance and implementation of the legislation in the field of prevention and combating money laundering and terrorism financing and of the PCSBFT Program are the following:

a) the nomination of the person responsible for ensuring the compliance of the internal policies and procedures with the requirements of the legislation in the field of prevention and combating money laundering and terrorism financing, for ensuring the continuous implementation of the PCSBFT Program;

b) a on-going training program of the staff in the field of prevention and combating money laundering and terrorism financing;

c) adequate procedures of rigorous selection of the staff and requirements for the employment of the staff in order to ensure its professionalism;

d) a program of performing the independent audit on the compliance of the activity of the foreign exchange office (including its branches)/hotel with the legislation requirements in the field of prevention and combating money laundering and terrorism financing and with the PCSBFT Program;

e) the measures that shall be applied to the employees that do not observe the legislation requirements in the field of prevention and combating money laundering and terrorism financing and with the PCSBFT Program.

33. As a person responsible for ensuring the compliance of the internal policies and procedures with the legislation requirements on prevention and combating money laundering and terrorism financing, for ensuring the continuous implementation of the PCSBFT Program, an employee who holds management functions shall be nominated.

34. The Compliance Officer shall have at least the following duties:

a) to organize the training for the employees of the foreign exchange office (including its branches) /foreign exchange bureau of the hotel within the training program in the field of prevention and combating money laundering and terrorism financing;

b) to provide consultation to the questions of the employees of the foreign exchange office (including of its branches) /foreign exchange bureau of the hotel, which occurred while implementing the PCSBFT Program;

c) to take a decision regarding the delivery of the special forms to the OPCML and to other competent authorities;

d) to organize the submission of the information to the OPCML and to other competent authorities in accordance with the legislation in the field of prevention and combating money laundering and terrorism financing;

e) to collaborate with the OPCML and other competent authorities;

f) to carry out the control on the observance by the employees of the foreign exchange office (including its branches) /foreign exchange bureau of the hotel of the provisions of the legislation and of the internal program on prevention and combating money laundering and terrorism financing;

g) to test the employees' knowledge of the legislation requirements and of the internal program on prevention and combating money laundering and terrorism financing;

h) to perform other duties, in compliance with these Recommendations and internal documents of the foreign exchange office /hotel.

34¹. The Compliance Officer shall be nominated not later than the beginning of the currency exchange activity in cash with individuals.

35. Within 3 working days after the nomination of the Compliance Officer, his name and surname, the nature and the limits of his responsibilities shall be communicated to the OPCML and to the National Bank of Moldova. In the event of changing the Compliance Officer, the nature and limits of his responsibilities, the respective information shall be communicated to the OPCML and to the National Bank of Moldova within 3 working days following the changes occurred.

36. The on-going training program of the staff in the field of prevention and combating money laundering and terrorism financing shall include all aspects related to the process of prevention and combating money laundering and terrorism financing. The periodicity and the content of the training shall be adjusted to the necessities of the foreign exchange office/hotel. The trainings shall be organized simultaneously with the modification of the legislation or of the program on prevention and combating money laundering and terrorism financing, but no less than once a year.

The Compliance Officer shall keep record of the organized trainings, performing the notes about the date and the subject of the training, the surname and name of the employees that have been trained.

37. The foreign exchange office, the hotel shall ensure that its employees involved in organizing and performing the currency exchange operations, including the new employed staff, shall have knowledge about:

a) the legislation in the field of prevention and combating money laundering and terrorism financing and the PCSBFT Program;

b) their obligations in the field of prevention and combating money laundering and terrorism financing;

c) the name, surname and the duties of the Compliance Officer.

38. While establishing the procedures of selection of the staff and the requirements in order to employ a personnel, its studies, the work experience in the economic field, the lack of criminal antecedents, the knowledge of the legislation in the field of prevention and combating money laundering and terrorism financing shall be taken into account.

The requirement on the observance of the legislation and of the internal program on prevention and combating money laundering and terrorism financing shall be included in the functional obligations of each employee involved in organizing and performing the currency exchange operations.

39. The program of performing the audit on the compliance of the activity of the foreign exchange office (including its branches)/hotel with the requirements of the acting legislation in the field of prevention and combating money laundering and terrorism financing and of the PCSBFT Program (hereinafter - audit) shall provide for at least who performs the respective audit, the periodicity (at least once a year) of audit performance, the audit objectives.

40. The audit may be performed both by the staff of the foreign exchange office/hotel responsible for the internal audit, as well as by an (external) independent auditor.

Chapter VII. Procedures on reporting in the field of prevention and combating money laundering and terrorism financing

41. The foreign exchange office, the hotel shall have procedures on reporting to the competent authorities of operations suspected of money laundering and/or terrorism financing and of other operations /circumstances, of which reporting shall be performed according to the Law no.190-XVI of July 26, 2007. These procedures shall contain at least the following aspects:

a) the filling in the special forms (cases, procedures of filling in and the delivery etc.);

b) the time frame of reporting to the OPCML in accordance with the requirements of the Law no.190-XVI of July 26, 2007;

c) the report's confidentiality. The foreign exchange office (including its branch), the hotel and their employees are obliged to do not communicate to the individuals who perform operations or to the third parties about the delivery of the information to the OPCML;

d) the keeping of the special forms and of other correspondence with the competent authorities.

42. While establishing the operations/circumstances subject to reporting according to the Law no.190-XVI of July 26, 2007, the cashier who performed the operation fills in the special form. While determining the doubtful nature of the operation, the employees of the foreign exchange office (including of branches), of the foreign exchange bureau of the hotel shall use the guide-book of suspicious activities or transactions and the criteria established in accordance with the own PCMLTF Program.

43. The filled in special forms shall be submitted to the Compliance Officer of the foreign exchange office/hotel. The submission of the special forms to the Compliance Officer shall be reflected in the special register.

The Compliance Officer shall take the decision on the delivery of the special forms to the OPCML. The delivery by the Compliance Officer of the special forms to the OPCML shall be reflected in the special register.

44. The procedures shall provide for the way of the delivery of the special forms to the OPCML, taking into account the OPCML requirements.

45. The foreign exchange office, the hotel shall keep the copies of the special forms and other correspondence with the competent authorities. For this purpose separate files shall be kept. These files shall contain copies of the special forms, other correspondence and all related information.

Unless otherwise provided by the legislation, the period of keeping the special forms shall not be less than the period established for keeping the documents, on whose basis these special forms were filled in.

Chapter VIII. The procedure of collaboration with the OPCML and with other competent authorities

46. The foreign exchange office, the hotel shall respond completely and promptly to the requests of the OPCML and of other competent authorities regarding the performed operations and identified individuals.

(Attachment no.28 modified by the Decision of the NBM no.233 of 27.10.2011)



NATIONAL BANK OF MOLDOVA
1 Grigore Vieru Avenue, MD-2005, Chişinău, Republic of Moldova

ACT ON RESULTS OF THE CONTROL no. _____

„____” _____ 20____ _____ (place of compiling)

Undersigned _____ (position, name and surname of the NBM inspectors)

under Chapter VIII of the Law no.62-XVI of 21.03.2008 on foreign exchange regulation, have conducted the _____ on-site control based on the NBM Decision no. _____ of _____, (scheduled / unscheduled)

at the foreign exchange entity _____ (name, number and date of issue of the license and, where applicable, date of the issue of the authorized copy of the license)

with the legal address _____ (legal address of the foreign exchange entity /its subdivision)

with the address of carrying out the currency exchange activity _____

in the presence of _____ (position, name and surname of the employee of the foreign exchange entity)

Date (period) of activity subject to control _____

_____ (other information, where applicable)

The control is started at _____.

Control results

I. Findings in respect of foreign exchange values at the beginning of control:

At the beginning of control, all foreign exchange values that are in the premise of the foreign exchange entity belong to _____ (name of foreign exchange entity) _____ (signature of the employee of the foreign exchange entity)

1. Balance at the beginning of the day			2. Received for settlement during the day		
Name of foreign exchange values, currency	Nominal value	Equivalent in MDL at the official exchange rate	Name of foreign exchange values, currency	Nominal value	Doc. no.
USD			USD		
EUR			EUR		
RUB			RUB		
RON			RON		
UAH			UAH		
MDL		X	MDL		

