

**Appendix 3 to the Regulations ‘On  
the Procedure and Terms of Sales of  
Natural Rough Diamonds by OJSC  
ALROSA’**

**QUESTIONNAIRE**

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(full business name (full name), registered (residential) address  
of a legal entity or an individual entrepreneur (hereinafter—the business entity),  
main state registration number)

**Section 1. General Information**

1.1	Full company name (surname, name, patronymic) of the business entity:	
1.2	Form of incorporation:	
1.3	State registration authority and date:	
1.4	Registered address (residential address) of the business entity:	
1.5	Postal address (address for postal correspondence) of the business entity:	
1.6	Authority that issued the certificate of special purpose registration of the business entity with the state inspectorate of assay supervision under the Russian State Assay Chamber, certificate date of issue and number:	
1.7	Paid-up capital:	
1.8	Net asset value as of the last reporting date:	
1.9	Telephone/fax: E-mail:	
1.10	Composition of the legal entity’s management bodies: sole and/or plural executive body, board of directors/supervisory board (full names, positions):	
1.11	Persons (members, shareholders) whose shareholding in the legal entity’s authorized capital stock (or number of voting shares) is 25 % and more (for legal entities indicate full company name, registered address, main state registration number, name of the state registration	

	authority; for individuals indicate their full name, residential address, INN (Taxpayer Identification Number):	
1.12	Other persons that are members of the same group to which the business entity is deemed to belong under the competition legislation of the Russian Federation, with indication of a relationship (for legal entities indicate full company name, registered address, main state registration number, name of the state registration authority; for individuals indicate their full name, residential address, INN (Taxpayer Identification Number)):	
1.13	Bank details of the business entity (bank name, settlement account number, BIC, correspondence account number, INN (Taxpayer Identification Number)/KPP (Tax Registration Reason Code), OKPO (Russian Federal Register of Enterprises and Organizations Identification Code), telephone, contact person at the bank):	
1.14	Contact person of the business entity (full name, position, telephone, e-mail):	

## Section 2. Declaration<sup>2</sup>

2.1	Has the activity of the business entity been suspended in compliance with the act of the authorized state authority?	
2.2	Are there any reorganization, liquidation or bankruptcy procedures pending against the business entity?	
2.3	Does the business entity appertain to the state that is a member of the Kimberley Process?	
2.4	Are there any resolutions of the Kimberley Process, authorized bodies of the executive authority of the members of the Kimberley Process, regarding failure of the business entity to comply with the requirements of	

<sup>2</sup> Items 2.8 and 2.9. hereof are not filled in by the business entity that intends to participate in competitive sales only.

	the Kimberley Process Certification Scheme for international certification of rough diamonds?	
2.5	Does the business entity comply with the internationally accepted practice of selling separately natural, synthetic and treated diamonds?	
2.6	Are there any criminal proceedings instituted on the grounds of the essential elements of a crime as stipulated by Section VIII of the Criminal Code of the Russian Federation (or similar essential elements of a crime as defined by the laws of the member of the Kimberley Process), as well as the criminal sentence that came into legal force—with regard to the sole executive body, member of the plural executive body, member of the board of directors (supervisory board), shareholder (participant) of a legal entity that holds more than 20 (twenty) per cent of the shares (interests), individual entrepreneur?	
2.7	Is the business entity (as well as the affiliated persons (employees) thereof) included in the list of organizations and individuals with respect to which there is information on their engagement in extremist or terrorist activities (item 2, Article 6 of the Federal Law of August 7, 2001 No. 115–FZ ‘On Counteraction of the Legitimization (Laundering) of the Proceeds of Crime and the Financing of Terrorism’, or in the similar lists currently in force in the member of the Kimberley Process?	
2.8	Have the judicial proceedings, in which the amount of a claim exceeds in total twenty-five per cent of the book value of the business entity’s assets as of the last reporting date, been initiated against the business entity?	
2.9	Has the property of the business entity, the amount of which exceeds in total twenty-five per cent of the book value of the business entity’s assets as of the last reporting date, been seized?	

### Section 3. Information about Production and Commercial Activities<sup>3</sup>

3.1	<p>Specialization of the business entity (with indication of the range of processed rough diamonds and required average annual volumes):</p>	
3.2	<p>Sales value data concerning the sales volumes over three years preceding the conclusion of the diamond supply agreement in the following format:</p> <p>Sales, total: USD _____ thousand, including:</p> <p>(a) rough diamond sales USD _____ thousand;</p> <p>(b) polished diamond sales USD _____ thousand;</p> <p>(c) jewelry sales USD _____ thousand;</p> <p>(d) sales of products made from industrial grade diamonds, including sales of tools with industrial grade diamonds USD _____ thousand.</p> <p>These data are provided for the group of companies whereof the business entity is a part (if the consolidated financial statements are prepared for the group), or for the business entity itself.</p> <p>These data are provided with breakdown by years.</p>	
3.3	<p>Characteristics of rough diamond cutting and polishing operations and/or jewelry manufacturing operations:</p> <p>(a) equipment by type (bruting, roundisting, sawing, cutting machines, etc., including semi-automatic and automatic machines);</p> <p>(b) number of employees with breakdown by specialization;</p> <p>(c) production volumes in value terms;</p> <p>(d) size groups and quality characteristics of processed rough diamonds, diamond cut brands.</p>	

<sup>3</sup> This Section is not filled in by the business entity that intends to participate in competitive sales or effect single non-competitive transactions for sale of rough diamonds.

#### Section 4. Information on Ultimate Beneficiaries<sup>4</sup>

<b>Individuals</b>	
Full name: Residential address: Passport number: Stake (number of shares) in the authorized capital stock, %:	
Full name: Residential address: Passport number: Stake (number of shares) in the authorized capital stock, %:	
Full name: Residential address: Passport number: Stake (number of shares) in the authorized capital stock, %:	

<b>Legal Entities</b>	
Full company name: Registered address: OGRN (Main State Registration Number): Stake (number of shares) in the authorized capital stock, %:	
Full company name: Registered address: OGRN (Main State Registration Number): Stake (number of shares) in the authorized capital stock, %:	
Full company name: Registered address: OGRN (Main State Registration Number): Stake (number of shares) in the authorized capital stock, %:	

We do hereby confirm that all the information contained in this Questionnaire is true and correct and that the person who has signed this Questionnaire is duly authorized to do so.

Sincerely yours,

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(signature, full name, position of the authorized person, seal of the business entity)

<sup>4</sup> For legal entities—participants (shareholders) of the business entity please provide the information in this Section up to the level of the names of ultimate beneficiaries—individuals. Should the participants (shareholders) of the business entity be a unitary enterprise, please indicate such enterprise in this Section.