



**Bank of Mongolia**

**Financial Information Unit**

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**GUIDANCE AND RECOMMENDATIONS FOR  
REPORTING ENTITIES ON COMPLETING THE  
REPORT IN ACCORDANCE WITH THE REGULATION  
ON SUBMITTING INFORMATION ELECTRONICALLY**

**REPORTING ENTITY | ACCOUNTING AND  
FINANCING SERVICE  
PROVIDER**

2020

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## 1. Related Legislation and International standards

Accounting and Financing Service Provider (AFSP) shall comply with the following legislation and international standards when reporting transactions specified in the law to the FIU (Financial Information Unit) for the purpose of combating and preventing money laundering and terrorism financing. These include:

- 1.1. Law on Combating Money Laundering and Terrorism Financing;
- 1.2. Law on Combating Proliferation and Terrorism;
- 1.3. Preventive measures regulations on combating money laundering and terrorist financing; (Approved by Decree A-26 of Governor of the Bank of Mongolia, on 21st of January 2019);
- 1.4. Regulation for reporting entities on submitting report to the FIU electronically; (Approved by Decree A-326 of Governor of the Bank of Mongolia on 25<sup>th</sup> of December 2019);
- 1.5. Guidelines targeted financial sanctions relating to terrorist financing and proliferation financing (Mongolian Government Decision 464 on 25<sup>th</sup> of December 2019);
- 1.6. FATF 40 Recommendations - International standards on combating money laundering and the financing of terrorism & proliferation.

## 2. Grounds and requirements for submission of report

2.1. According to Article 4.1.9 of Law on Combating Money Laundering and Terrorism Financing, if Accounting and Financing Service Provider (AFSP) prepared and involved in the following activities related to its customers, AFSP shall report information on transaction indicated in Article of same Law to the FIU as follows:

1. Buying and selling of real estate;
2. Managing of client assets;
3. Management of bank, savings or securities accounts;
4. Organisation of contributions for the creation, operation or management of companies;
5. Creation, operation or management of legal persons or arrangements, and buying and selling of business entities.

2.2. Suspicious Transaction Report: If the AFSP suspects or knows that an asset, transaction, or attempted transaction is related to money laundering or terrorism financing, or is related to proceeds of crime in the course of activities described in article 2.1 of the Guidance, it shall submit a Suspicious Transaction Report (STR) to the FIU in accordance with approved procedures and formats.

2.3. Cash Transaction Report (CTR) and Foreign Settlement Transaction Report (FSTR):

If AFSP makes cash and foreign settlement transactions at amount of MNT 20 million or more course of activities described in Article 2.1 of this guidance and recommendation, AFSP shall submit a report on cash transactions and a report on foreign settlement transactions to the FIU.

### **3. Period for submission of reports**

- 3.1. If the AFSP suspects or knows that an asset, income or transaction, or attempted transaction is related to money laundering or terrorism financing, or is related to proceeds of crime it shall submit a STR to the FIU within 24 hours in accordance with approved procedures and formats.
- 3.2. AFSP shall submit a report on cash and foreign settlement transactions at amount of MNT 20 million or more to the FIU in accordance with approved procedures and formats within 5 business days.

### **4. Method and form of reporting**

- 4.1. AFSP will fill out the report form, which provided from the FIU. AFSP shall attach the completed report form to the FIU by email and send it to [fiu@mongolbank.mn](mailto:fiu@mongolbank.mn).
- 4.2. When AFSP submits a report, the file containing the report form shall be protected by a password to ensure confidentiality and security. The password will be delivered to the FIU's report receiving officer by telephone.
- 4.3. When AFSP submits the report, the report form shall be filled completely and accurately in accordance with this guidance and recommendation.

### **5. Confidentiality of information**

- 5.1. The AFSP is prohibited to notify customer and others involved in the report in any case of preparation, reporting of any information related to the report.
- 5.2. The AFSP shall not disclose any information related to the transaction prepared and reported to other entity other than competent authorities and competent officer.

### **6. Additional clarification**

If you have any questions or concerns regarding to filling out the report form or sending the report, please contact the FIU at:

Phone: 326161, 321199

E-mail: [fiu@mongolbank.mn](mailto:fiu@mongolbank.mn)

Website: <https://fiu.mongolbank.mn/>

## SAMPLE 1. FILLING OUT SUSPICIOUS TRANSACTION REPORT

If the AFSP suspects or knows that an asset, transaction, or attempted transaction is related to money laundering or terrorism financing, or is related to proceeds of crime in the course of activities described in article 2.1 of the Guidance, it shall submit a Suspicious Transaction Report (STR) to the FIU in accordance with the following template.

**I. PART A.** This section contains information on the individual or legal entity that has made, is making, or intends to make a suspicious transaction/action.

PART A. Information on Individuals / Entities Conducting Suspicious Transaction	Field name	Note	Example (Individual)	Example (Legal entity)
	1.Last name	Last name	Dorj	-
	2.Individual's first name or Entity's name*	Individual's first name or Entity's name	Bat	ABVG LLC
	3.Family name	Family name	Borjigon	-
	4.Other name	If customer has other name's other than section 1-3, it should be written.	John Smith	ABVG LLC
	5.Country of birth	<b>Individual person:</b> Country of birth <b>Legal entity:</b> Established country  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	MN
	6.Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	-
	7.Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1970/05/01	1992/05/01
	8. Gender	Enter the gender of the individual person.	Male	-
	9.Type of identification	The type of document used to make a suspicious transaction / action	ID card	Certificate of registration

10. Number of identification	Document number used for suspicious transactions / actions	UB0123456	9268987422
11. Registration number*	<p><b>Individual:</b> If the customer is a citizen of Mongolia, he / she shall enter his / her registration number, and if he / she is a foreign citizen, he / she shall enter the registration number or passport number on his / her documents.</p> <p><b>Legal entity:</b> If it is a legal entity registered in Mongolia, its registration number shall be written, and if it is a foreign legal entity, its registration number or passport number shall be written on its documents.</p>	AB70050100	5897635
12. Address	<p><b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's place of residence</p>	Sukhbaatar district, 1 <sup>st</sup> khoroo, A District, Building B, 01 number	Bayanzurkh district, 1 <sup>st</sup> horoo, Ulaanbaatar tower 1-300 number
13. Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000	393939, 99000000
14. Individual occupation, profession or business	<p><b>Individual:</b> Describe the client's job, profession, and activity.</p> <p>- If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc.</p> <p>- If you are a foreigner, write down your job, position and business activities in Mongolia.</p> <p><b>Legal entity:</b> Area of activity of the legal entity</p>	CEO	Mining
15. Office name, address, phone number	<b>Individual:</b> Name, address and telephone number of the customer's office	ABCD Company, Sukhbaatar district, 1 <sup>st</sup> khoroo, A building, B corpus Telephone: 333333	-

**II. PART B.** In this section, enter the amount, date, and account information related to the suspicious transaction/action, if any.

	Field name	Note	Example
<b>PART B. Accounts Information related to Suspicious transaction</b>	16. Amount of transaction*	Amounts related to transactions and actions that are considered suspicious while providing services to customers	100,000,000.00
	17. Date of transaction*	Date of suspicious transaction / action Write the date in Microsoft Excel's "Date" format.	2019/09/01
	18. Type of currency*	Currencies shall be denominated in accordance with ISO 4217 Country Names and their Abbreviation Standards in Annex 5 of the "Regulation for reporting entities on submitting report to the FIU electronically"	MNT
	19. Account number	Account number associated with the suspicious transaction / action	500400300100
	20. Description of transaction	Description of suspicious transaction and action	Financial service
	21. Full name of account holder	The full name of the account number holder specified in field 19 of this form	Bat Dorj or ABCD Company
	22. Name, address of other banks involved in transaction	Names of other banks involved in suspicious transactions / actions	BB bank
	23. Other account numbers involved in transaction	Account number of other banks involved in suspicious transactions / actions	300300300
	24. Account holder's full name in other banks	Enter the full name of the other bank account holder involved in the suspicious transaction / action, or the name of the individual and the name of the legal entity.	Bat Dorj or ABCD Company

**III. PART C.** This section should clearly describe the transaction/action and the reasons and explanations for informing the customer through STR.

	Field name	Note	Example
<b>PART C. Reasons for Suspicion</b>	25. Reasons for Suspicion*	It clearly states the transaction / action and the grounds on which the customer is suspected.  If the suspected transaction / action or customer is suspected of involvement in money laundering, terrorist financing or other underlying crimes, this information may also be written here.	Attempted a transaction / action by illegally influencing an employee providing financial services.
	26. Description / Details*	It provides a brief and clear description of the events, actions, and circumstances that led to the suspicious transaction / action, or who did what, when, and how, and why the accounting and financing service provider considers the transaction / action to be suspicious. Write as detailed as possible.	Citizen B offered money to an employee providing financial services and promised money.

**IV. PART D.** This section contains information on the reporting entity or AFSP preparing the STR.

PART D. Additional Information on Reporting Entity	Field name	Note	Example
	27. Name of reporting entity*	Enter the name of the accounting and financing service provider that reports the transaction / action.	Naransaran. G
	28. Address*	Write the type of person responsible for reporting	Accounting and Financing Service Provider
	29. Certificate number*	Accounting and Financing Service Provider's Certificate Number (Stamp Number)	123456789
	30. Full name of employee prepared this report*	It shall be written in the same way as the name of the person responsible for reporting specified in field 27 of this form.	Naransaran. G
	31. Title*	The same shall apply to the type of person responsible for reporting as specified in Section 28 of this form.	Accounting and Financing Service Provider
	32. Full name of employee inspected this report*	It shall be written in the same way as the name of the person responsible for reporting specified in field 27 of this form.	Naransaran. G
	33. Title*	The same shall apply to the type of person responsible for reporting as specified in Section 28 of this form.	Accounting and Financing Service Provider
	34. Telephone number*	Contact telephone number and internal telephone number of reporting entity	333333 (123)
	35. E-mail address*	E-mail address of reporting entity	tsetsgee@gmail.com
36. Date of sending report*	Write the date in Microsoft Excel's "Date" format.	2020/01/01	

**CLARIFICATION:** Section with \* is mandatory to fill in the Suspicious transaction report form. If AFSP has information in other section besides \*, fill out such information completely and if there is no information, leave blank empty.



## SAMPLE 2. FILLING OUT THE CASH TRANSACTION REPORT

AFSP shall submit a report on cash transactions (CTR) at amount of MNT 20 million or more to the FIU in accordance with the following template when, they engage in a financial transaction in relation to the activities described in Article 2.1.

**I. PART A.** This section contains information on a customer who involved in a cash transaction at amount of MNT 20 million and more. If customer makes a transaction on behalf his/her name, fill only Part A. If customer makes a transaction on behalf of the legal party or other party the customer shall fill represented custom's information in a Part A, the representing party's information shall be filled in a Part B.

PART A. Information on Individual Conducting Cash Transaction	Field name	Note	Example (Individual)	Example (Legal entity)
	1. Individual's last	Last name	Dorj	-
	2. First name*	Individual's first name	Sarantuya	-
	3. Family name	Family name	Borjigon	-
	4. Other name	If customer has other name's other than section 1-3, it should be written.	Sara	-
	5. Country of birth	<b>Individual person:</b> Country of birth  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	-
	6. Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	-
	7. Date of birth	<b>Individuals:</b> Date of birth  Write the date in Microsoft Excel's "Date" format.	1970/05/01	-
	8. Type of identification	The type of document used to make a transaction	ID card	-
	9. Number of identification	Document number used for transactions	UB0123456	-
10. Registration number*	<b>Individual:</b> If the customer is a citizen of Mongolia, he / she shall enter his / her registration number, and if he / she is a foreign citizen, he / she shall enter the registration number or passport number on his / her documents.	AB70050100	-	

	11.Address	<b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.	Sukhbaatar district, 1 <sup>st</sup> khoroo, A District, Building B, 01 number	-
	12.Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000	-
	13.Occupation, profession, or business	<b>Individual:</b> Describe the client's job, profession, and activity. - If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc. - If you are a foreigner, write down your job, position and business activities in Mongolia.	CEO	-
	14.Name, address, telephone number of office or business	Name, address and telephone number of the customers' office	ABCD Company, Sukhbaatar district, 1 ts khoroo, A building, B corpus Telephone: 333333	-

**II. PART B.** If the customer makes a transaction on behalf of a legal entity or others, the information of the representative or organization shall be filled in this section.

PART B. Information on the person making a transaction on behalf of others	Field name	Note	Example (Individual)	Example (Legal entity)
	15.Individual's full name or entity's name	Name of individual / Name of legal entity	Narangerel	ABVG LLC
	16.Other name	If customer has other name's other than section 15, or use a different name, it should be written.	Gele	ABVG LLC
	17.Country of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	MN

	18.Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the “Regulation for reporting entities on submitting report to the FIU electronically”.	MN	-
	19.Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1970/05/01	1970/05/01
	20.Type of identification (certificate type)	The type of document used in the transaction	ID card	Certificate of registration
	21.Number of identification (certificate number)	The number of document used in the transaction	UB0123456	9268987422
	22.Occupation /profession/ business/type of activity	<b>Individual:</b> Describe the client's job, profession, and activity. - If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write “unemployed” or retired, student, group, etc. - If you are a foreigner, write down your job, position and business activities in Mongolia. <b>Legal entity:</b> Area of activity of the legal entity	CEO	Mining
	23.Name, address, telephone number of office or business	Name, address and telephone number of the customer’s office	ABCD Company, Sukhbaatar district, 1 ts khoroo, A building, B corpus Telephone: 333333	

**III. PART C.** This section provides information on the amount, type, and account of cash income and expenditure transactions.

P A	Field name	Note	Example
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	24. Amount of outgoing transaction*	Cash transaction amount of MNT 20 million or more	100,000,000.00
	25. Amount of incoming transaction*		
	26. Date of transaction*	Date of cash inflows and outflows Write the date in Microsoft Excel's "Date" format.	2019/09/01
	27. Type of currency*	Currencies shall be denominated in accordance with ISO 4217 Country Names and their Abbreviation Standards in Annex 5 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MNT
	28. Account number	Account number associated with the transaction	500400300100
	29. Type of transaction	Type of transaction	Audit certification
	30. Full name of account holder	The full name of the account number holder specified in Field 28 of this form	Bat Dorj or ABCD Company
	31. Address	<b>Individual:</b> Enter the customer's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia. <b>Legal entity:</b> The official address of the legal entity's place of residence	Sukhbaatar district, 1 ts khoroo, A microdistrict, B building, 1 number
	32. Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000

**IV. PART D.** This section should include information on the recipient (other party) receiving cash income of MNT 20 million or more.

PART D. Information on transaction participant particularly other party	Field name	Note	Example (Individual)	Example (Legal entity)
	33. Name of receiver/sender	Name of individual / Name of legal entity	Bold	DGBBA Company
	34. Telephone number	The telephone number of the individual / legal entity listed in field 33 (home phone, mobile phone, work phone, etc.)	393939, 99000000	494949, 77110001
	35. Address of receiver/sender	<b>Individual:</b> Fill in the address of the individual listed in field 33, and if you are a temporary resident, enter your temporary residence address in Mongolia. <b>Legal entity:</b> The official address of the legal entity's location listed in field 33	Sukhbaatar district, 1 ts khoroo, A microdistrict, B building, 1 number	Bayanzurkh district, Its horoo, Ulaanbaatar tower 5-345 number
	36. Description of transaction	Description of transaction	Audit certification	Audit certification

37. Account number and type of receiver/sender	Account number and type of receiver/sender	50040030010 0	45646546546 54564654
38. Bank name of receiver/sender	Bank name of receiver/sender	Gerel bank	Gerel bank

**V. PART E.** This section contains information on the reporting entity or AFSP prepared and submitted the CTR.

	Field name	Note	Example
<b>PART E. Information on reporting entity</b>	39. Name of Reporting entity*	Enter the name of the accounting and financing service provider that reported the transaction.	Naransaran.G
	40. Address*	Write the type of reporting entity	Accounting and Financing Service Provider
	41. Certificate number	Accounting and Financing Service Provider's Certificate Number (Stamp Number)	123456789
	42. Full name of preparer of this report*	It shall be written in the same way as the name of reporting entity specified in field 39 of this form.	Naransaran.G
	43. Title*	It shall be written in the same way as the type of reporting entity as specified in Field 40 of this form.	Accounting and Financing Service Provider
	44. Full name of approving official of this report*	It shall be written in the same way as the name of reporting entity specified in field 39 of this form.	Naransaran.G
	45. Title*	It shall be written in the same way as the type of reporting entity as specified in Field 40 of this form.	Accounting and Financing Service Provider
	46. Telephone number*	Contact telephone number and internal telephone number of reporting entity	333333 (123)
	47. E-mail address*	E-mail address of reporting entity	tsetsge@gmail.com
	48. Date of report prepared*	Write the date in Microsoft Excel's "Date" format.	2020/01/01

**CLARIFICATION:** Section with \* is mandatory to fill in the Cash Transaction Report form. If AFSP has information in other section besides \*, fill out such information completely and if there is no information, leave blank empty.

### SAMPLE 3. FILLING OUT FOREIGN SETTLEMENT TRANSACTION REPORT

While conducting the activities in Article 2.1, an AFSP shall submit a Foreign Settlement Transaction Report (FSTR) to the FIU in accordance with approved procedures and formats if the transaction is at amount of MNT 20 million or more.

**I.** This section contains information on a customer who involved in a foreign settlement transaction at amount of MNT 20 million or more.

If customer makes a transaction on his/her own name, fill only Section 1-12. If customer makes a transaction on behalf of the third party the customer shall fill third party's information in a Section 13-15. The information on the individual, organization or actual owner of the transaction shall be filled in sections 1-12.

PART A. Information on transaction transmitter entity or individual	Field name	Note	Example (Individual)	Example (Legal entity)
	1. Individual's last name	Last name	Dorj	-
	2. Individual's first name or Entity's name*	Individual's first name or Entity's name	Bat	ABVG LLC
	3. Family name	Family name	Borjigon	-
	4. Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	MN
	5. Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1970/05/01	1992/05/01
	6. Type of identification	The type of document used to make a transaction	ID card	Certificate of registration
	7. Number of identification	Document number used for transactions	UB0123456	9268987422
	8. Registration number*	<b>Individual:</b> If the customer is a citizen of Mongolia, he / she shall enter his / her registration number, and if he / she is a foreign citizen, he / she shall enter the registration number or passport number on his / her documents.  <b>Legal entity:</b> If it is a legal entity registered in Mongolia, its registration number shall be written, and if it is a foreign legal entity, its registration number or passport number shall be written on its documents.	AB70050100	5897635

9.Address	<p><b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's place of residence</p>	Sukhbaatar district, 1 <sup>st</sup> khoroo, A District, Building B, 01 number	Bayanzurkh district, 1 <sup>st</sup> horoo, Ulaanbaatar tower 1-300 number
10.Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000	494949, 77110000
11.Occupation, position, business	<p><b>Individual:</b> Describe the client's job, profession, and activity.</p> <p>- If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc.</p> <p>- If you are a foreigner, write down your job, position and business activities in Mongolia.</p> <p><b>Legal entity:</b> Area of activity of the legal entity</p>	CEO	Mining
12.Name, address, telephone number of office	If the individual is the organization / company he / she works for, and if the organization is an business unit, write his / her name, address and contact phone number.	ABB company Sukhbaatar district, 1 <sup>st</sup> khoroo, A Building, Corpus A Telephone: 333333	-
13.Full name of individual who conducted transaction on behalf of other person	<p>In this field, fill in the citizen's information representing the person mentioned in Section A, paragraphs 1-12.</p> <p>If the citizen does not represent anyone or the person listed in 1-12 is not represented by anyone, only fields 1-12 of Part A shall be completed.</p>	Bambar Zulzaga	-
14.Number of identification	<p>Identification number in accordance with relevant regulations, such as the identity card and passport used in the transaction of the person listed in field 13</p> <p>If the customer is a citizen of Mongolia, he / she may write his / her registration number, and if he / she is a foreign citizen, he / she may write the registration number or passport number on his / her documents.</p>	NE01121212	-

	15.Occupation, position, business	Record the occupation, occupation, and occupation of the person listed in box 13. - If you are a civil servant, employee of a state-owned or private company, if you are in your position, if you are self-employed, what kind of business do you do, if you are unemployed, write “unemployed” and retire, student, group, etc. - If you are a foreigner, write down your job, position and business activities in Mongolia.	General accountant of ABB company	-
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**III. PART B.** If the customer makes a transaction on behalf of a legal entity or others, the information on the representative or organization shall be filled in this section.

PART B. Information on the person making a transaction on behalf of others	Field name	Note	Example (Individual)	Example (Legal entity)
	15.Individual's full name or entity's name	Name of individual / Name of legal entity	Narangerel	ABVG LLC
	16.Other name	If customer has other name's other than section 15, or use a different name, it should be written.	Gele	ABVG LLC
	17.Country of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the “Regulation for reporting entities on submitting report to the FIU electronically”.	MN	MN
	18.Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the “Regulation for reporting entities on submitting report to the FIU electronically”.	MN	-
	19.Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1970/05/01	1970/05/01
	20.Type of identification (certificate type)	The type of document used to make a transaction	ID card	Certificate of registration
	21.Number of identification	Document number used for transactions	UB0123456	9268987422



	(certificate number)			
	22. Occupation /profession/ business/type of activity	<p><b>Individual:</b> Describe the client's job, profession, and activity.</p> <p>- If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc.</p> <p>- If you are a foreigner, write down your job, position and business activities in Mongolia.</p> <p><b>Legal entity:</b> Area of activity of the legal entity</p>	CEO	Mining
	23. Name, address, telephone number of office	Customer's phone number (home phone, mobile phone, etc.)	ABB company Sukhbaatar district, 1 <sup>st</sup> khoroo, A Building, Corpus A Telephone: 333333	

**III. PART C.** This section provides information on the amount, type, and account of cash income and expenditure transactions.

PART C. Information on transaction and account	Field name	Note	Example
	24. Amount of outgoing transaction*	Cash transaction amount of MNT 20 million or more	100,000,000.00
	25. Amount of incoming transaction*		
	26. Date of transaction*	Date of cash inflows and outflows Write the date in Microsoft Excel's "Date" format.	2019/09/01
	27. Type of currency*	Currencies shall be denominated in accordance with ISO 4217 Country Names and their Abbreviation Standards in Annex 5 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MNT
	28. Account number	Account number associated with the transaction	500400300100
	29. Type of transaction	Type of transaction	Audit certification
	30. Full name of account holder	The full name of the account number holder specified in Field 28 of this form	Bat Dorj or ABCD Company

	31. Address	<p><b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's place of residence</p>	Sukhbaatar district, Its horoo, A micro district, Building B, 01 number
	32. Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000

**IV. PART D.** This section should include information on the recipient (other party) of cash income at amount of MNT 20 million or more.

PART D. Information on transaction participant particularly other party	Field name	Note	Example (Individual)	Example (Legal entity)
	33. Name of receiver/sender	Name of individual / Name of legal entity	<b>Bold</b>	DGBB company
	34. Telephone number	The telephone number of the individual / legal entity listed in field 33 (home phone, mobile phone, work phone, etc.)	393939, 99000000	494949, 77110001
	35. Address of receiver/sender	<p><b>Individual:</b> Fill in the address of the individual listed in field 33, and if you are a temporary resident, enter your temporary residence address in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's location listed in field 33</p>	Sukhbaatar district, 1 ts khoroo, A microdistrict, B building, 1 number	Bayanzurkh district, 1ts horoo, Ulaanbaatar tower 5-345 number
	36. Description of transaction	Description of transaction	Audit certification	Audit certification
	37. Account number of other party involved in transaction	Account number of other party involved in transaction	50040030010 0	45646546546 54564654
	38. Bank's name of receiver/sender	Bank's name of receiver/sender	Gerel bank	Gerel bank

**V. PART E.** This section contains information on the reporting entity prepared and submitted the CTR or Accounting and financing service provider

PART E. Information on reporting entity	Field name	Note	Example
	39. Name of Reporting entity*	Enter the name of the accounting and financing service provider that reported the transaction.	Naransaran.G
	40. Address*	Write the type of reporting entity	Accounting and Financing Service Provider
	41. Number of certificate *	Accounting and Financing Service Provider's Certificate Number (Stamp Number)	123456789
	42. Full name of employee prepared this report*	It shall be written in the same way as the name of reporting entity specified in field 39 of this form.	Naransaran.G
43. Title*	It shall be written in the same way as the type of	Accounting and	

		reporting entity as specified in Field 40 of this form.	Financing Service Provider
	44. Full name of employee inspected this report*	It shall be written in the same way as the name of reporting entity specified in field 39 of this form.	Naransaran.G
	45. Title*	It shall be written in the same way as the type of reporting entity as specified in Field 40 of this form.	Accounting and Financing Service Provider
	46. Telephone number*	Contact telephone number and internal telephone number of reporting entity	333333 (123)
	47. E-mail address*	E-mail address of reporting entity	tsetsge@gmail.com
	48. Date of sending report *	Write the date in Microsoft Excel's "Date" format.	2020/01/01

**CLARIFICATION:** Section with \* is mandatory to fill in the Cash Transaction Report form. If AFSP has information in other section besides \*, fill out such information completely and if there is no information, leave blank empty.

### INSTRUCTION NO 3. FILLING OUT THE REPORT ON FOREIGN SETTLEMENT TRANSACTION

If foreign settlement transactions at amount of MNT 20 million or more are made during conducting the activities indicated in article 2.1 of this instruction and recommendation, accounting and financing service provider shall submit a Foreign Settlement Transaction Report (FSTR) to the FIU in accordance with following instruction.

1. PART A. This section contains information on a customer who are involved in a foreign settlement transaction at amount of MNT 20 million and more.

If customer makes a transaction on behalf of his/her own name, he/she should fill out his/her information only in Section 1-12. If customer makes a transaction on behalf of the third party, the customer shall fill third party's information in a Section 13-15. The information on the individual, organization or actual owner of the transaction shall be filled in sections 1-12.

PART A. Information on transaction transmitter entity or individual	Field name	Note	Example (Individual)	Example (Legal entity)
	1. Individual's last name	Last name	Dorj	-
	2. Individual's first name or Entity's name*	Individual's first name or Entity's name	Bat	ABVG LLC
	3. Family name	Family name	Borjigon	-
	4. Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	MN
	5. Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1970/05/01	1992/05/01
	6. Type of identification	The type of document used to make a transaction	ID card	Certificate of registration
	7. Number of identification	Document number used for transactions	UB0123456	9268987422
	8. Registration number*	<b>Individual:</b> If the customer is a citizen of Mongolia, he / she shall enter his / her registration number, and if he / she is a foreign citizen, he / she shall enter the registration number or passport number on his / her documents.  <b>Legal entity:</b> If it is a legal entity registered in Mongolia, its registration number shall be written, and if it is a foreign legal entity, its registration	AB70050100	5897635

		number or passport number shall be written on its documents.		
9.Address		<p><b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's place of residence</p>	Sukhbaatar district, 1 <sup>st</sup> khoroo, A District, Building B, 01 number	Bayanzurkh district, 1 <sup>st</sup> horoo, Ulaanbaatar tower 1-300 number
10.Telephone number		Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000	494949, 77110000
11.Occupation, position, business		<p><b>Individual:</b> Describe the client's job, profession, and activity.</p> <p>- If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc.</p> <p>- If you are a foreigner, write down your job, position and business activities in Mongolia.</p> <p><b>Legal entity:</b> Area of activity of the legal entity</p>	CEO	Mining
12.Name, address, telephone number of office		If the individual is the organization / company he / she works for, and if the organization is an business unit, write his / her name, address and contact phone number.	ABB company Sukhbaatar district, 1 <sup>st</sup> khoroo, A Building, Corpus A Telephone: 333333	-
13.Full name of individual who conducted transaction on behalf of other person		<p>In this field, fill in the citizen's information representing the person mentioned in Section A, paragraphs 1-12.</p> <p>If the citizen does not represent anyone or the person listed in 1-12 is not represented by anyone, only fields 1-12 of Part A shall be completed.</p>	Bambar Zulzaga	-
14.Number of identification		<p>Identification number in accordance with relevant regulations, such as the identity card and passport used in the transaction of the person listed in field 13</p> <p>If the customer is a citizen of Mongolia, he / she may write his / her registration number, and if he / she is a foreign citizen, he / she may write the registration number or passport number on his / her documents.</p>	NE01121212	-

	15. Occupation, position, business	Record the occupation, occupation, and occupation of the person listed in box 13. - If you are a civil servant, employee of a state-owned or private company, if you are in your position, if you are self-employed, what kind of business do you do, if you are unemployed, write "unemployed" and retire, student, group, etc.  - - If you are a foreigner, write down your job, position and business activities in Mongolia.	General accountant of ABB company	-
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**II. PART B.** This section shall fill out information on the recipient individual or legal entity of the foreign settlement transaction. If the recipient individual or legal entity is receiving the transaction in behalf of his /her own name, fill in only fields 16-27. If the customer is receiving a transaction on behalf of a legal entity or others, his / her information shall be filled in fields 28-30 and the information of the representative shall be filled in fields 16-27.

PART B. Information on recipient entity or individual	Field name	Note	Example (Individual)	Example (Legal entity)
	16. Individual's last name	Last name	Bataa	-
	17. Individual's first name or Entity's name*	Individual's first name or Entity's name	Dondov	JABBJ company
	18. Family name	Family name	Borjigon	-
	19. Nationality	<b>Individual person:</b> Country of origin  The name of the country shall be written in accordance with ISO 3166-1, the name of the country and its abbreviated symbol standard in Annex 4 of the "Regulation for reporting entities on submitting report to the FIU electronically".	MN	MN
	20. Date of birth	<b>Individuals:</b> Date of birth <b>Legal entity:</b> Established date  Write the date in Microsoft Excel's "Date" format.	1980/05/01	2002/05/01
	21. Type of identification	The type of document used to make a transaction	ID card	Certificate of registration
	22. Number of identification	Document number used for transactions	UB0124444	92689872
	23. Registration number	<b>Individual:</b> If the customer is a citizen of Mongolia, he / she shall enter his / her registration number, and if he / she is a foreign citizen, he / she shall enter the registration number or passport number on his / her documents.  <b>Legal entity:</b> If it is a legal entity	AB98855100	5891214

	registered in Mongolia, its registration number shall be written, and if it is a foreign legal entity, its registration number or passport number shall be written on its documents.		
24. Address	<p><b>Individual:</b> Enter the client's address of residence, and if the foreigner is a temporary resident, enter the address of temporary residence in Mongolia.</p> <p><b>Legal entity:</b> The official address of the legal entity's place of residence</p>	Sukhbaatar district, 1 <sup>st</sup> khoroo, A District, Building B, 01 number	Bayanzurkh district, 1 <sup>st</sup> horoo, Ulaanbaatar tower 1-300 number
25. Telephone number	Customer's phone number (home phone, mobile phone, etc.)	393939, 99000000	494949, 77110000
26. Occupation, position, business	<p><b>Individual:</b> Describe the client's job, profession, and activity.</p> <p>- If you are a civil servant, employee of a state-owned or private company, write your current position, if you are self-employed, what kind of business you are doing, if you are unemployed, write "unemployed" or retired, student, group, etc.</p> <p>- If you are a foreigner, write down your job, position and business activities in Mongolia.</p> <p><b>Legal entity:</b> Area of activity of the legal entity</p>	CEO	Mining
27. Name, address, telephone number of office	If the individual is the organization / company he / she works for, and if the organization is an business unit, write his / her name, address and contact phone number.	BGDE company, Sukhbaatar district, 16 khoroo, Building B, A corpus Telephone: 444444	-
28. Full name of individual who conducted this transaction on behalf of other person	<p>In this field, fill in the civil information representing the person mentioned in Section B, paragraphs 16-27.</p> <p>If the citizen does not represent anyone or the person listed in paragraphs 16-27 is not represented by anyone, only fields 16-27 of Part B shall be completed.</p>	Arslan Guen	-
29. Number of identification	<p>Identification number in accordance with relevant regulations, such as the identity card and passport used in the transaction of the person listed in field 28</p> <p>If the customer is a citizen of Mongolia, he / she may write his / her registration number, and if he / she is a foreign citizen, he / she may write the</p>	NE78787878	-

		registration number or passport number on his / her documents.		
	30. Occupation, position, business	Record the occupation, occupation, and activity of the person listed in box 28. - If you are a civil servant, employee of a state-owned or private company, if you are in your position, if you are self-employed, what kind of business do you do, if you are unemployed, write "unemployed" and retire, student, group, etc.  - - If you are a foreigner, write down your job, position and business activities in Mongolia.	General accountant of JABB company	-

**III. PART C.** This section contains information on the amount, type, account, recipient or sending bank of the foreign settlement transactions.

	Field name	Note	Example
<b>ART C. Information on transaction</b>	31.Date of transaction*	Date of foreign settlement transaction  Write the date in Microsoft Excel's "Date" format.	2019/09/01
	32.Amount of outgoing transaction	Amount of foreign settlement transaction or amount of foreign settlement transaction made by Mongolia to foreign country. Transactions in MNT shall be recorded in that amount, transactions in foreign currencies shall be recorded in that amount (without conversion to MNT) and "34. In the "Currency unit" field, enter the currency. For example, if a customer transfers \$ 20,000 to a foreign country, enter \$ 20,000 in box 32 and USD in box 34.	150,000.21
	33.Amount of incoming transaction	The amount of foreign settlement transactions or the amount of foreign payments received from abroad to Mongolia. Transactions in MNT shall be recorded in that amount, transactions in foreign currencies shall be recorded in that amount (without conversion to MNT) and "34. In the "Currency" field, enter the currency. For example, if a customer receives a \$ 20,000 transaction from a foreign country, enter USD 20,000 in box 33 and USD in box 34.	20.000
	34.Type of currency*	The currency unit shall be written in accordance with ISO 4217 Country Currency Names and Abbreviated Stamp Standards in Annex 5 of the "Regulation for reporting entities on submitting report to the FIU electronically".	USD
	35.Description of	Description of transaction	Equipment



	transaction*		payment
	36. Bank code of transaction and transfer	Bank code of transaction and transfer	AAMNUB
	37. Bank name of transaction and transfer	Bank name of transaction and transfer	Aaa bank
	38. Bank address of transaction and transfer	Bank address of transaction and transfer	Sukhbaatar district, 1 khoroo, Building A, A Corpus
	39. Account number of transaction and transfer	Account number of transaction and transfer	10123012212
	40. Receiving bank code	Write the receiving bank code	HSBCUS
	41. Receiving bank name	Receiving bank name	HSBC bank
	42. Receiving bank address	Receiving bank address	Merlon str, Carlton, CA US
	43. Receiving bank's account number	Receiving bank's account number	12121321321

**IV. PART D.** This section contains the information on the correspondent bank transmitting foreign settlement transactions.

	Field name	Note	Example
<b>PART D.</b> Additional information of the transaction	44. Correspondent bank name of transaction initiator's bank	Correspondent bank name of transaction initiator's bank	HSBC
	45. Residing country and city of transaction initiator's correspondent bank	Address of Residing country and city of transaction initiator's correspondent bank	21 Huang str, Hong Kong, China
	46. Correspondent bank name of receiving bank	Correspondent bank name of receiving bank	Commerzbank
	47. Residing country and city of transaction receiver's correspondent bank	Address of Residing country and city of transaction receiver's correspondent bank	545 Bitter str, Frankfurt, Germany
	48. Message sent from transaction sender to receiver	Message sent from transaction sender to receiver	/RPP/321.130124.6. ELEK.01 /DAS/130124.13012 4.000000

V. **PART E.** This section contains information on reporting entity or accounting and financing service provider who submitted the foreign settlement transaction.

	Field name	Note	Example
<b>PART E. Information on reporting entity</b>	49.Name of Reporting entity*	Enter the name of the accounting and financing service provider that reported the transaction.	Naransaran.G
	50.Address*	Write the type of reporting entity	Accounting and Financing Service Provider
	51.Certificate number*	Accounting and Financing Service Provider's Certificate Number (Stamp Number)	123456789
	52.Full name of employee prepared this report*	It shall be written in the same way as the name of reporting entity specified in field 49 of this form.	Naransaran.G
	53.Title*	It shall be written in the same way as the type of reporting entity as specified in Field 50 of this form.	Accounting and Financing Service Provider
	54.Full name of employee inspected this report*	It shall be written in the same way as the name of reporting entity specified in field 49 of this form.	Naransaran.G
	55.Title*	It shall be written in the same way as the type of reporting entity as specified in Field 50 of this form.	Accounting and Financing Service Provider
	56.Telephone number*	Contact telephone number and internal telephone number of reporting entity	333333 (123)
	57.E-mail address*	E-mail address of reporting entity	tsetsge@gmail.com
	58.Date of report prepared*	Write the date in Microsoft Excel's "Date" format.	2020/01/01

**CLARIFICATION:** Section with \* is mandatory to fill in the Foreign Settlement Transaction report form. If AFSP has information in other section besides \*, fill out such information completely and if there is no information, leave blank empty.

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