



List of laws, regulations, and documents that serve as the basis for
questions used in testing questionnaires

No.	Source	Supervisory Board member, Management Board member	Chief Risk Officer (CRO)	Chief Compliance Officer (CCO)	Staff member responsible for financial monitoring	Head of Internal Audit	Chief Accountant
1	Law of Ukraine <i>On Banks and Banking</i>	+	+	+	+	+	+
2	Law of Ukraine <i>On Joint Stock Companies</i>	+	+	+		+	+
3	Law of Ukraine <i>On Simplifying Reorganization and Capitalization Procedures for Banks</i>	+	+	+		+	
4	Law of Ukraine <i>On Financial Services and State Regulation of Financial Services Markets</i>	+	+	+		+	
5	Law of Ukraine <i>On Households Deposit Guarantee System</i>	+	+	+		+	
6	Law of Ukraine <i>On Prevention and Counteraction to Legalizing (Laundering) the Proceeds from Crime, Terrorism Financing, and Financing the Proliferation of Weapons of Mass Destruction</i>	+	+	+	+	+	+
7	Law of Ukraine <i>On Currency and Currency Operations</i>	+	+	+		+	+
8	Law <i>On Audit of Financial Statements and Audit Activity</i>					+	+
9	Law of Ukraine <i>On Mortgage</i>	+	+	+			
10	Law of Ukraine <i>On Collateral</i>	+	+	+		+	
11	Law of Ukraine <i>On Accounting and Financial Reporting in Ukraine</i>					+	+
12	Instruction On the Procedure for the Regulation of Bank Activities in Ukraine approved by NBU Board Resolution No. 368 dated 28 August 2001	+	+	+		+	+
13	Regulation On Bank Licensing approved by NBU Board Resolution No. 149 dated 22 December 2018	+	+	+		+	
14	Regulation on Peculiarities of Bank Reorganization According to Decision of its Owners approved by NBU Board Resolution No. 189 dated 27 June 2008	+	+	+		+	
15	Regulation On Organization of Risk Management System in Ukrainian Banks and Banking Groups approved by NBU Board Resolution No. 64 dated 11 June 2018	+	+	+		+	
16	Regulation On Conducting Financial Monitoring by Banks approved by NBU Board Resolution No. 65 dated 19 May 2020	+	+	+	+	+	
17	Regulation On Organization of Internal Audit in Banks of Ukraine approved by NBU Board Resolution No. 311 dated 10 May 2016	+	+	+		+	
18	Regulation On Credit Register of the National Bank of Ukraine approved by NBU Board Resolution No. 50 dated 4 May 2018	+	+	+		+	+
19	Regulation On Procedure for Regulation of Banking Groups Activities approved by NBU Board Resolution No. 254 dated 20 June 2012	+	+	+		+	
20	Regulation On Procedure for Identification and Acknowledgement of Banking Groups approved by NBU Board Resolution No. 134 dated 9 April 2012	+	+	+		+	
21	Regulation On Organization of Procedure for Problem Assets Management Asset Management in Ukrainian Banks approved by NBU Board Resolution No. 97 dated 18 July 2019	+	+	+		+	
22	Regulation On Organization of Internal Control System in Ukrainian Banks and Banking Groups approved by NBU Board Resolution No. 88 dated 2 July 2019.	+	+	+		+	
23	Regulation On Identification of Bank's Related Parties approved by NBU Board Resolution No. 315 dated 12 May 2015	+	+	+		+	+

No.	Source	Supervisory Board member, Management Board member	Chief Risk Officer (CRO)	Chief Compliance Officer (CCO)	Staff member responsible for financial monitoring	Head of Internal Audit	Chief Accountant
24	Regulation On Procedure for Performance by Banks of Ukraine of Deposit Operations with Legal Entities and Individuals approved by NBU Board Resolution No. 516 dated 3 December 2003	+	+	+		+	+
25	Regulation On Application of Corrective Measures by the National Bank of Ukraine approved by NBU Board Resolution No. 346 dated 17 August 2012	+	+	+		+	+
26	Regulation for Measuring Credit Risk Generated by Bank Asset Operations approved by NBU Board Resolution No. 351 dated 30 June 2016	+	+	+		+	
27	Methodological Recommendations on Organization of Corporate Governance in Banks of Ukraine approved by NBU Board Resolution No. 814 dated 3 December 2018	+	+	+		+	+
28	Instruction on Procedure for Opening and Closing Bank Customer Accounts and Correspondent Accounts of Resident and Nonresident Banks approved by NBU Board Resolution No. 492 dated 12 November 2003	+	+	+		+	+
29	Instruction On Cashless Payments in Domestic Currency in Ukraine approved by NBU Board Resolution No. 22 dated 21 January 2004	+	+	+		+	+
30	Regulation On Organization and Conduction of Inspections approved by NBU Board Resolution No. 276 dated 17 July 2001 (as amended by NBU Board Resolution No. 145 dated 28 December 2017)		+	+		+	+
31	Regulation On Assessing Resilience of Banks and Banking System of Ukraine approved by NBU Board Resolution No. 141 dated 22 December 2017	+	+	+			
32	Regulation On Procedure for Banks to Submit Audit Reports on Findings of the Annual Audit of Financial Statements to the NBU approved by NBU Board Resolution No. 90 dated 2 August 2018					+	+
33	Instruction on Application of Chart of Accounts of Banks of Ukraine approved by NBU Board Resolution No. 89 dated 11 September 2017						+
34	Instruction on Accounting of Transactions in Foreign Currency and Investment Metals in Banks of Ukraine approved by NBU Board Resolution No. 555 dated 17 November 2004 (as amended by NBU Board Resolution No. 437 dated 5 November 2013).						+
35	Instruction on Accounting of Property and Equipment and Intangible Assets of Banks of Ukraine approved by NBU Board Resolution No. 480 dated 20 December 2005						+
36	Rules on Accounting of Income and Expenses of Banks of Ukraine approved by NBU Board Resolution No. 17 dated 27 February 2018						+
37	Regulation On Organization of Accounting, Accounting Control in Operational Activities in Ukrainian Banks approved by NBU Board Resolution No. 75 dated 4 July 2018						+
38	Instruction on Accounting of Transactions with Derivatives in Banks of Ukraine approved by NBU Board Resolution No. 153 dated 26 December 2018						+
39	Instruction on Accounting of Transactions with Financial Instruments in Banks of Ukraine approved by NBU Board Resolution No. 14 dated 21 February 2018						+
40	Instruction On Procedure of Preparing and Publishing Financial Reporting of Banks of Ukraine approved by NBU Board Resolution No. 373 dated 24 October 2011					+	+
41	International Financial Reporting Standards 9 (IFRS 9) Financial Instruments. Key Provisions	+	+	+		+	+
42	International Financial Reporting Standards. Their official translation is available on the official website of the Ministry of Finance of Ukraine (https://www.minfin.gov.ua)						+
43	International Standards for the Professional Practice of Internal Auditing adopted by the Internal Auditing and Assurance Standards Board and approved by the Supervisory Board for Professional Practices	+				+	
44	International Standards on Combating Money Laundering and the Financing of Terrorism and Proliferation of Weapons of Mass Destruction (FATF Recommendations) approved by a plenary meeting of FATF on 16 February 2012	+			+		
45	Document of the Basel Committee on Banking Supervision at the Bank for International Settlements <i>Basel II: Revised International Capital Framework</i> (Basel II). Essence of Basel II, Three pillars	+	+	+		+	+
46	Document of the Basel Committee on Banking Supervision at the Bank for International Settlements <i>Corporate Governance Principles for Banks</i>	+	+	+		+	
47	Document of the Basel Committee on Banking Supervision at the Bank for International Settlements <i>Core Principles for Effective Banking Supervision</i>	+	+	+		+	+

No.	Source	Supervisory Board member, Management Board member	Chief Risk Officer (CRO)	Chief Compliance Officer (CCO)	Staff member responsible for financial monitoring	Head of Internal Audit	Chief Accountant
48	Order of the State Financial Monitoring Service of Ukraine <i>On List of Countries (Territories) Failing to Comply or Unduly Complying with the Recommendations of International, Intergovernmental Organizations Conducting Activities in the Area of Counteraction to Legalization (Laundering) of Proceeds From Crime and Financing of Terrorism</i> No. 139 dated 1 October 2012				+		
49	Regulation on Procedure for Determining the Minimum Amount of Operational Risk by Banks of Ukraine approved by NBU Board Resolution No. 156 dated 24.12.2019	+	+	+		+	
50	Regulation on Requirements to Rules and Reports on Remuneration to Members of Supervisory Board and Management Board approved by NBU Board Resolution No. 153 dated 30 November 2020	+	+	+		+	
51	Regulation on Determining Criteria for Writing Off Impaired Financial Assets of Banks of Ukraine at the Expense of Valuation Reserves for Expected Credit Losses approved by NBU Board Resolution No. 49 dated 13.04.2020	+	+	+		+	