

#### DISCLAIMER

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#### RESOLUTION 21

##### "Provision of technology services by ATHEX"

*Codified into a single text to include the decision dated 06.03.2020 of the Stock Markets Steering Committee.*

#### THE STOCK MARKETS STEERING COMMITTEE OF ATHENS EXCHANGE

(Meeting of 13.11.2014)

Having regard to the provisions of Section 1 of the ATHEX Rulebook, the Operating Rules of the Alternative Market (ENA), the decision dated 24-6-2010 of the Board of Directors of ATHEX regarding the XNET Network, as well as the description of the technology services provided by ATHEX, the technical specifications and any other necessary matters relating to the technology infrastructure of Members, of listed companies, of companies admitted to trading on ENA and of any other entity/person wishing to obtain the right to use the services provided by ATHEX

#### HEREBY RESOLVES AS FOLLOWS

##### Article 1. Definitions

1. For the purposes and implementation of this resolution, the following terms shall have the respective meanings set forth below:

**Electronic Operations Flow and Form Distribution System or HERMES System or HERMES:** the electronic system used by ATHEX to connect and communicate with listed companies and companies admitted to trading on ENA via the Internet.

**Technology Services:** the services relating to Information and Communication Technology (ICT) applications and systems which are provided by ATHEX to its Members but also to any other entity/person (companies of the HELEX Group, custodians, listed companies, etc.) which obtains the

right to use them. These services include, inter alia, the supply of hardware and software, the necessary services of initial installation, management and operation, as well as the provision of technical assistance and support to users.

**Technology Service Users:** ATHEX members, custodians, listed companies, companies admitted to trading on ENA (issuers), suppliers of software to members (Independent Software Vendors) and any other agency/entity that obtains the right to use the technology services provided by ATHEX.

**User Access Solution:** the selection, installation and configuration of technical equipment (hardware, software, network interfaces, etc.) made available or specified by ATHEX which is necessary for efficient, reliable and secure user access to ATHEX technology services.

**Technology Service Category:** each thematically distinct category of technology services provided by ATHEX (e.g. ATHEX-Net interface services, Automated Integrated Trading System (OASIS) services, XNET services, HERMES services, etc.) which is included as an annex hereto and forms an integral part hereof.

**Accompanying Documents:** all kinds of texts relating to the procedures and documentation which accompany this resolution and its annexes as integral parts hereof.

**Reference Documents:** all kinds of written technical instructions and specifications, procedures (forms, etc.) and documentation (user manuals, etc.) to which reference is made in this resolution and its annexes but do not form integral parts hereof. The updated versions of Reference Documents will be posted on the ATHEX website (<http://www.athexgroup.gr>). These documents include, inter alia, all necessary details and specific information (technical instructions, specifications, etc.) to effectively sustain the entire "life cycle" (installation, activation, use, administration/operation, maintenance/upgrading, support, deactivation, de-installation) of the technology services provided to the respective recipients/users.

2. The terms "DSS Operator" and "Custodian", as used herein, have the same meaning as the respective definitions assigned to them in the DSS Operating Rules of the Hellenic Capital Market Commission and the Rulebook for Clearing Transactions in Book-Entry Securities.

## **Article 2. Object**

1. The object of this resolution is to describe in detail the technology services provided by ATHEX to Users and to set out the terms and conditions under which, on the one hand, ATHEX provides Technology Services to Users and, on the other, Users can select and use the Access Solution best suited to their needs.

2. ATHEX provides Users with access to Technology Services via the appropriate technical means (hardware, software or other technological applications) made available or specified by ATHEX, along with the necessary support services (initial installation and configuration, management and operation, provision of technical assistance and support, etc.). In addition, ATHEX sets the technical specifications and takes care of any other specific matter relating to the configuration of the technology infrastructure on the User side. The compliance of Users with the aforesaid technical

specifications and settings of ATHEX is mandatory and constitutes a prerequisite for their obtaining the right to use the services provided by ATHEX.

3. The selection by Users of the most suitable solution for accessing the technology services of ATHEX is made on the basis of the extent to which it meets their respective needs, in accordance with the ATHEX institutional framework in place from time to time. Through the necessary advisory services, ATHEX assists Users in their selection of the best access solution and the optimum use of the services provided through it.

### **Article 3. Technology Service Categories**

This resolution includes, as annexes and integral parts hereof, the following separate categories of technology services:

1. Annex A: "*Provision of ATHEX-Net interface services*", along with its Accompanying Documents and Reference Documents. This category regulates the terms/conditions and every other specific matter relating to the connection to ATHEX-Net of Members, DSS Operators and any other entity/person obtaining such right. The aforesaid connection is a prerequisite for Members and DSS Operators wishing to access the ICT system/application services provided through ATHEX-Net, such as the Automated Integrated Trading System of ATHEX (for Members) and the Dematerialised Securities System (for DSS Operators). For ATHEX Members in particular, compliance with the technical specifications and settings referred to in this Annex as well as in its Accompanying Documents and Reference Documents with regard to the necessary configuration and settings of a Member's technology infrastructure is a prerequisite for obtaining and retaining the capacity of Member.

2. Annex B: "*Provision of OASIS Technology Services (Securities Subsystem) of ATHEX and provision of XNET Technology Services*", along with its Accompanying Documents and Reference Documents. This category regulates the terms/conditions and every other specific matter relating to a) the access of Members to OASIS services, through ORAMA terminals, XnetTrader<sup>1</sup> and the ATHEX Gateway service, and b) the access of ATHEX Members to XNET services, through XNET Client terminals and the ATHEX Gateway service. Compliance with the technical specifications set out in this Annex in connection with a Member's technology infrastructure is a prerequisite for obtaining and retaining the capacity of Member, with the exception of the ATHEX Gateway service, which is optional for Members.

3. Annex C: "*Provision of HERMES Technology Services of ATHEX*", along with its Accompanying Documents and Reference Documents. This category regulates the terms/conditions and every other specific matter relating to the access of listed companies (issuers) to the services of the HERMES communication system via the internet. Listed companies must obtain access to this service in order to fulfil the obligations emanating from Section 4 of the ATHEX Rulebook.

### **Article 4. Entry into Force – Amendments**

This resolution shall enter into force on 1 December 2014. As of the entry into force of this resolution, Resolution 21 of 22.7.2008 of the Board of Directors of ATHEX is repealed.

This resolution shall be posted on the website of ATHEX (<http://www.athexgroup.gr>).

## **RESOLUTION ANNEXES**

**ANNEX A:** Provision of ATHEX-Net interface services.

**ANNEX B:** Provision of OASIS Technology Services of ATHEX and provision of XNET Technology Services.

**ANNEX C:** Provision of HERMES Technology Services of ATHEX.

All three annexes constitute an integral part hereof.

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<sup>1</sup> *The second clause of paragraph 2, article 3 of the resolution was amended as above by virtue of decision 173/06.03.2020 of the Stock Markets Steering Committee with effect as of 16.03.2020.*