



ATHEX
Athens Stock Exchange

REPORTING GUIDELINES

REPORTING GUIDELINES

ANNEX D'



Version : 3.0 – 01 Dec 2014
Effective from 1 Dec 2014



ATHEX
Athens Stock Exchange

REPORTING GUIDELINES

1. REPORTING GUIDELINES

1. The VENDOR/SUBVENDOR/MEMBER has the obligation to submit the reports of its monthly activity described in this Annex, which shall be used as a basis for the calculation of any fees to be charged (forms V-02 and V-03).
2. Alternatively to the use of reporting forms V-02 and V-03, the use of a CSV file (including the same information with the aforesaid forms) may be used, according to the instructions provided by the ATHEX.
3. The ATHEX may agree to accept reporting forms other than the ones mentioned above; provided that the VENDOR/SUBVENDOR/MEMBER will pay 30 Euros per report form (file) submitted (report processing fees).
4. The aforesaid monthly reporting forms V-02 and V-03, CSV files or other agreed with the ATHEX, shall be submitted to ATHEX on a quarterly basis, EVERY CALENDAR QUARTER, WITHIN TWENTY (20) DAYS FROM THE FIRST DAY OF THE NEXT QUARTER.
5. The VENDOR/SUBVENDOR/MEMBER may use only the reporting forms described below which shall be provided by ATHEX in electronic form. Filing of such reports shall be made to the following address:

ATHEX Data Feed Services
Athens Stock Exchange S.A.
110, Athinon Ave., GR 104 42 Athens
Email: DFS-Reporting@athexgroup.gr
Tel: +30 210 336 6340, Fax: +30 210 336 6296

6. Especially for the reporting forms V-05 and V-06, these can be submitted to ATHEX only electronically in the following e-mail address DFS-Reporting@athexgroup.gr
7. In addition to the filing to the above postal address, the aforesaid reports may be sent also in electronic form defined by ATHEX, to the following email dfs-reporting@athexgroup.gr, while the particular email may be used for submitting questions concerning the reporting procedure and the reporting forms. The reporting forms must always be duly signed by the legal representative of the VENDOR/SUBVENDOR/MEMBER.
8. Exceptionally, the reporting form v-01 "VENDOR/SUBVENDOR/MEMBER's report for information/change of the agreement data" shall be submitted to ATHEX by the VENDOR/SUBVENDOR/MEMBER before the signing of the present agreement and every time any change of such data takes place.
9. In the electronic Form V-03 "REPORT OF DEVICES / SUBSCRIBERS / QUOTES /" provided by ATHEX in electronic form, there is a table for the entry of detailed data per corporate client (name, address, real or delayed time distribution). This form shall be deemed to be a true statement for the VENDOR/SUBVENDOR/MEMBER's activity described in it as well as unreserved acceptance of the quarterly variable fees appearing on this form.
10. The reporting forms are described in chapter 2 of the present Annex.



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REPORTING GUIDELINES

2. REPORTING FORMS

2.1 FORM V-01 "VENDOR/SUBVENDOR/MEMBER'S REPORT FOR INFORMATION/CHANGE OF THE AGREEMENT DATA"

The form "VENDOR/SUBVENDOR/MEMBER's report for information/change of the Agreement data" includes the following company's details:

- Corporate Name
- Head office
- Legal Representation
- Activity
- Premises for the supply of the Information by ATHEX

(see next page)



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Vendor/Subvendor's report for information/change of the Agreement data

COMPANY NAME & PREMISES

Company Name: _____
 Company Address _____
 Country: _____ City: _____
 Address: _____

LEGAL REPRESENTATION (SIGNATORY)

Full Name: _____
 Position: _____
 e-mail: _____
 Phone no: _____ Fax no: _____
 Postal Address: _____

TABLE OF ATHEX INFORMATION PRODUCTS

| <i>Please insert "X" in the corresponding box</i> | Changes | |
|---------------------------------------------------------------------------|---------|---------|
| | Include | Exclude |
| ATHEX SECURITIES INFORMATION PRODUCTS | | |
| ATHEX Securities Market LEVEL 1 – 1BBO (Post Trade included) | | |
| ATHEX Securities Market LEVEL 2 – 5BBO (Level 1 included) | | |
| ATHEX & CSE Securities Market LEVEL 3 – 10BBO (Level 2 included) | | |
| ATHEX Securities Market - FULL ORDER DEPTH (10BBO & Post Trade included) | | |
| ATHEX RSS NEWS Feed | | |
| ATHEX DERIVATIVES INFORMATION PRODUCTS | | |
| ATHEX Derivatives Market LEVEL 1 – 1BBO | | |
| ATHEX Derivatives Market LEVEL 2 – 5BBO | | |
| ATHEX Derivatives Market LEVEL 3 – 10BBO (10BBO included) | | |
| ATHEX Derivatives Market – FULL ORDER DEPTH | | |
| CYPRUS (CSE) SECURITIES INFORMATION PRODUCTS | | |
| CYPRUS Securities Market LEVEL 1 – 1BBO (Post Trade included) | | |
| CYPRUS Securities Market LEVEL 2 – 5BBO (Level 1 included) | | |
| CYPRUS Securities Market - FULL ORDER DEPTH (10BBO & Post Trade included) | | |
| INDICES | | |
| FTSE/ATHEX INDICES | | |

Activation Date ___/___/2015

Date

The declaring counterpart

(Signature – Company Seal)



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REPORTING GUIDELINES

2.2 FORM V-02 "REPORT FOR CORPORATE CLIENTS RECEIVING SPECIAL SERVICES & SUBVENDORS"

The form "REPORT FOR CORPORATE CLIENTS RECEIVING SPECIAL SERVICES & SUBVENDORS" includes the following details of the VENDOR/SUBVENDOR'S corporate clients and Subvenders:

- CORPORATE CLIENT'S NAME
- CORPORATE CLIENT'S HEAD OFFICE AND POSTAL ADDRESS
- SUBVENDORS THAT RECEIVE THE INFORMATION IN REAL TIME FROM THE VENDOR (NAME AND POSTAL ADDRESS)
- SPECIAL SERVICES RECEIVED PER CORPORATE CLIENT
- CORPORATE CLIENT'S WEBSITE OR TV CHANNEL RECEIVING THE INFORMATION BY THE COUNTERPARTY
- COMMENCEMENT/TERMINATION DATE OF CO-OPERATION WITH A CORPORATE CLIENT OR SUBVENDOR

The Special Services that may be declared by the VENDOR/SUBVENDOR are only the following:

- Internet Ticker (Level 1)
- TV Ticker (Level 1)
- Indices outside Internet Ticker
- Listed Company's website
- Non-Display Data Internal redistribution / Per corporate client
- Non-Display Data External redistribution / Per corporate client

(see next page)



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QUARTERLY REPORT FORM OF THE ATHEX INFORMATION PRODUCTS

V-03-02

English

Date _____ Full Name / Signature / Seal _____

| SPECIAL SERVICES REPORTING DATA | Count | Total Value |
|-----------------------------------------------------------------|-------|-------------|
| Special Service Category: INTERNET SITE | | |
| ATHEX Securities Market - Internet Ticker (Level 1) | | |
| ATHEX Derivatives Market - Internet Ticker (Level 1) | | |
| ATHEX Securities Market - Indices outside Internet Ticker | | |
| FTSE / ATHEX Indices - Internet Ticker (Level 1) | | |
| FTSE / ATHEX Indices outside Internet Ticker | | |
| CSE Securities Market - Internet Ticker (Level 1) | | |
| CSE Securities Market - Indices outside Internet Ticker | | |
| Special Service Category: TV STATION | | |
| ATHEX Securities Market - TV Ticker (Level 1) | | |
| ATHEX Derivatives Market - TV Ticker (Level 1) | | |
| ATHEX Securities Market - Indices outside TV Ticker | | |
| FTSE / ATHEX Indices - TV Ticker (Level 1) | | |
| FTSE / ATHEX Indices outside TV Ticker | | |
| CSE Securities Market - TV Ticker (Level 1) | | |
| CSE Securities Market - Indices outside TV Ticker | | |
| Special Service Category: LISTED COMPANY'S WEB SITE | | |
| ATHEX - Listed Company's website displaying its own stock info | | |
| CSE - Listed Company's website displaying its own stock info | | |
| Special Service Category: NON DISPLAY - DATA | | |
| Non Disp. Data - Internal redistribution / corp. client (ATHEX) | | |
| Non Disp. Data - External redistribution / corp. client (ATHEX) | | |
| Non Disp. Data - Internal redistribution / corp. client (CSE) | | |
| Non Disp. Data - External redistribution / corp. client (CSE) | | |
| Special Service Category: NEWS FEED | | |
| RSS News Feed | | |

"We declare in full responsibility that all data included in this report are accurate and correct in accordance with the specific stipulations of the Vendor's Agreement we have signed with ATHEX and that we unreservedly accept our invoicing with the respective amounts appearing on this form."

Net Value:
V.A.T.
Total:

Date _____ Full Name / Signature / Seal _____



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REPORTING GUIDELINES

2.3 FORM V-03 "REPORT OF DEVICES/SUBSCRIBERS/QUOTES/GROSS INCOME"

The Form "REPORT OF DEVICES/SUBSCRIBERS/QUOTES/GROSS INCOME" includes the VENDOR/SUBVENDOR'S activity data:

The total number of devices/subscribers, quotes, and gross income for all information products and levels on a monthly basis:

- DEVICES/SUBSCRIBERS (INCLUDING SUBSCRIBERS OF CORPORATE CLIENTS)
- MOBILES/PAGERS
- QUOTES
- NON-PROFESSIONAL SUBSCRIBERS

(see next page)



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QUARTERLY REPORT FORM OF THE ATHEX INFORMATION PRODUCTS

1403-02

Print

COMPANY/INVOICE DETAILS

Customer Code: _____ Name: _____
Address: _____ Tax number: _____ TAX Authority: _____

The present form should be sent to:

ATHENS EXCHANGE S.A.

Attention to: Mr. Pavlos Vrettos, ATHEX Data Feed Service / Market Operation & Member Support Division
Athenon avenue 110, Postal code: 10442, Athens

e-mail: DCS@athex.gr

Period of report: Year: **2014** Trimester: **3**

| ATHEX INFORMATION PRODUCT | REPORT FORM | | | | PRO-INVOICE (€) | | | |
|---------------------------|-------------|-----|-----|-------|-----------------|-----|-----|-----------|
| | JUL | AUG | SEP | Total | JUL | AUG | SEP | Net Value |

Reporting Category: **DEVICES**

Subscriber Category: **PROFESSIONAL SUBSCRIBERS**

| | | | | | | | | |
|------------------|--------------------|--|--|--|--|--|--|--|
| ATHEX SECURITIES | FULL ORDER DEPTH | | | | | | | |
| | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| | ATHEX INDICES | | | | | | | |
| ATHEX & CSC | FTSE/ATHEX INDICES | | | | | | | |
| | LEVEL 2 (1000) | | | | | | | |
| | FULL ORDER DEPTH | | | | | | | |
| | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| CSC SECURITIES | MFD POST TRADE | | | | | | | |
| | FULL ORDER DEPTH | | | | | | | |
| | LEVEL 2 (1000) | | | | | | | |
| ATHEX/CRM | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| | LEVEL 2 (2000) | | | | | | | |
| SEC | SEC-FULL | | | | | | | |

Subscriber Category: **NON PROFESSIONAL SUBSCRIBERS**

| | | | | | | | | |
|------------------|----------------|--|--|--|--|--|--|--|
| ATHEX SECURITIES | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| | ATHEX INDICES | | | | | | | |
| | FTSE/ATHEX | | | | | | | |
| CSC SECURITIES | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| ATHEX/CRM | LEVEL 1 (1000) | | | | | | | |

Reporting Category: **MOBILES - Pagers**

Subscriber Category: **PROFESSIONAL SUBSCRIBERS**

| | | | | | | | | |
|------------------|----------------|--|--|--|--|--|--|--|
| ATHEX SECURITIES | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| | ATHEX INDICES | | | | | | | |
| | FTSE/ATHEX | | | | | | | |
| CSC SECURITIES | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| ATHEX/CRM | LEVEL 2 (2000) | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |

Subscriber Category: **NON PROFESSIONAL SUBSCRIBERS**

| | | | | | | | | |
|------------------|----------------|--|--|--|--|--|--|--|
| ATHEX SECURITIES | LEVEL 1 (1000) | | | | | | | |
| | MFD POST TRADE | | | | | | | |
| | ATHEX INDICES | | | | | | | |
| CSC SECURITIES | FTSE/ATHEX | | | | | | | |
| | LEVEL 1 (1000) | | | | | | | |
| ATHEX/CRM | LEVEL 1 (1000) | | | | | | | |

Reporting Category: **REQUOTES - QUOTES**

| | | | | | | | | |
|----------------------------------|--|--|--|--|--|--|--|--|
| ATHEX INDICES, SEC & DERIVATIVES | | | | | | | | |
| MFD POST TRADE | | | | | | | | |
| FTSE/ATHEX | | | | | | | | |
| CSC SEC | | | | | | | | |

"We declare in full responsibility that all data included in this report are accurate and correct in accordance with the specific stipulations of the Vendor's agreement, we have signed with ATHEX and that we unreservedly accept our liability with the respective amounts appearing on this form."

Net Value: _____
 V.A.T. _____
 Total: _____

Date: _____ Full Name / Signature / Seal: _____



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2.4 FORM V-04 – REPORT FORM FOR NON DISPLAY DATA USAGE



ATHEX
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Report form for Non Display Data usage

Name of the Vendor / Subvendor that redistributes the information to a corporate client for non display data usage

Details of the corporate client that makes the non display data usage

Name: _____
Address: _____
Country: _____
Corporate Web Site: _____

Corporate clients contact persons details:

Full Name: _____
e-mail: _____
Phone no: _____

"Non Display Data" starting date: _____

| "Non Display Data" type: | Total number of non display services |
|--------------------------|--------------------------------------|
| Internal use: | _____ |
| External use: | _____ |

Date

The declaring counterpart

.....
(Signature – Company Seal)



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2.5 FORM V-05 - VENDOR/SUBVENDOR CONTACT PERSONS



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VENDOR/SUBVENDOR CONTACT PERSONS

VENDOR / SUBVENDOR CONTACT PERSONS

For administrative - business matters:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____

For technical matters:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____

For reporting:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____

For payments:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____

Invoice details:

Postal address: _____
Company's name: _____
Registered Office: _____
Tax Number: _____

For receiving reporting about corporate acts:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____

For notices and services of judicial and non-judicial documents with regard to:

Full Name: _____
Post: _____
e-mail address: _____
Tel.: _____
Fax No: _____
Address: _____



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2.6 FORM V-06 - REPORT FORM FOR INTERNAL USE OF THE INFORMATION



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REPORT FORM FOR INTERNAL USE OF THE INFORMATION

Name of the Vendor / Subvendor that redistributes the information to a corporate client internal redistribution

Name: _____

Name and premises of corporate client making internal use of the information

Name: _____

Address: _____

Country: _____

Corporate website: _____

Corporate clients contact persons details

Full Name: _____

e-mail: _____

Phone no: _____

Internal redistribution starting date: _____

(this form is submitted only by email)