

## DISCLAIMER

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## RESOLUTION 4

### **“Technical terms and procedures for the provision of the Central Maintenance Service”**

Codified to include the decisions dated 26.07.2021, 25.10.2021, 29.11.2021, 28.02.2022 and 31.10.2022 of the Board of Directors.

**THE BOARD OF DIRECTORS  
OF HELLENIC CENTRAL SECURITIES DEPOSITORY S.A. (ATHEXCSD)  
(Meeting 311/22.02.2021)**

Having regard to:

1. the provisions of article 2.6, Part 2, Section I, of article 4.3, Part 4, as well as Parts 5 to 10, Section III of the Rulebook of the Hellenic Central Securities Depository (hereinafter the ‘Rulebook’), and
2. the need to specify the data required to be submitted and registered in ATHEXCSD for the use and operation of the Central Maintenance Service,

### **HEREBY RESOLVES AS FOLLOWS:**

#### **Purpose & Scope**

This Resolution determines the data required to be submitted and registered in ATHEXCSD for use and operation of the Central Maintenance Service.

#### **I. Details for opening an Own Share (article 4.4, Part 4, Section III of the Rulebook)**

In order for a Participant to open an Own Share and Own Securities Account, ATHEXCSD registers in the DSS the following details of the Participant as submitted by it to ATHEXCSD together with the application for acquiring the capacity of Participant:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) Country of registered office and tax residence
- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- f) The number of a unique identification certificate (LEI or BIC)
- g) The company's main object
- h) The contact details (address, telephone) of the Participant
- i) The details of the Cash Settlement Account to be used by the Participant at the Cash Settlement Agent.

#### **II. Details for opening a Client Share (articles 4.4 and 4.5, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Client Share and Client Securities Account for a client, it must submit to ATHEXCSD an application and declare the following details depending on whether the client is a natural person or a legal person:

- a) The full name or legal name of the client
- b) The identity of the client in the case of a natural person (ID Card no. or other official identification) or registration number in the relevant register in the case of a legal person
- c) The nationality and citizenship of the client, in the case of a natural person
- d) The country of the registered office of the client in the case of a legal person
- e) The details of the legal representative as designated by the competent body of the legal person
- f) The country of tax residence
- g) The Tax Registration Number (TRN) for domestic natural or legal persons

- h) The number of a unique identification certificate (LEI or BIC) in the case of a legal person, the Social Security Number or Personal number in the case of a natural person.
- i) The profession in the case of a natural person or the main object in the case of a legal person
- j) The contact details (address, telephone) of the client

**III. Details for opening a Registered Intermediary Share (article 4.6, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Registered Intermediary Share and a Clients Securities Account for a Registered Intermediary, it must submit to ATHEXCSD a relevant application and declare the following details of the Registered Intermediary:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence
- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- f) The number of a unique identification certificate (LEI or BIC)
- g) The company's main object
- h) The contact details (address, telephone) of the Registered Intermediary

**IV. Details for opening a Market Maker Share (article 4.7, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Market Maker Share and Client Securities Account for a Market Maker's client, it must submit to ATHEXCSD an application and declare the following details of the Market Maker:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence

- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- f) The number of a unique identification certificate (LEI or BIC)
- g) The contact details (address, telephone) of the Participant

**V. Details for opening a Proprietary Trader Share (article 4.8, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Proprietary Trader Share and Client Securities Account for a Proprietary Trader's client, it must submit to ATHEXCSD a relevant application and declare the following details of the Proprietary Trader:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence
- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- f) The number of a unique identification certificate (LEI or BIC)
- g) The company's main object
- h) The contact details (address, telephone) of the Registered Intermediary
- i) The details of the Cash Settlement Account to be used by the Participant at the Cash Settlement Agent.

**VI. Details for opening a Fund Manager Share (article 4.9.1, Part 4, Section III of the Rulebook)**

To open a Fund Manager Share and a Transitory Account for a Fund Manager, to which ATHEXCSD provides the Initial Recording Service and/or the Registry Service, ATHEXCSD registers in the DSS the following details as submitted to ATHEXCSD by the party concerned, together with the relevant application for the provision of the above services.

- a) The legal name of the company
- b) The details of the legal representative as designated by the competent body of the legal person

- c) The country of registered office and tax residence
- d) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- e) The number of a unique identification certificate (LEI or BIC)
- f) The contact details (address, telephone) of the Fund Manager
- g) The legally valid license for managing collective or alternative investment funds held by the Fund Manager in accordance with the law governing it
- h) The data specifying the Exchange-Traded Fund or Non-Exchange Traded Fund in relation to which ATHEXCSD shall provide the Initial Recording Service and/or Registry Service to the Fund Manager.

**VII. Details for opening a Fund Share (article 4.9.2, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Fund Share and Client Securities Account for an Exchange-Traded Fund or Non-Exchange Traded Fund, it must submit to ATHEXCSD a relevant application and declare the following details:

- a) The data of the Fund Manager that will manage the relevant Exchange-Traded Fund or Non-Exchange Traded Fund in accordance with points (a) to (g) of paragraph VI hereof.
- b) The data relating to the Exchange-Traded Fund or Non-Exchange Traded Fund for which the relevant Fund Share is to be opened.

**VIII. Details for opening an Intermediary Settlement Share (article 4.10, Part 4, Section III of the Rulebook)**

In order for a Participant to open an Intermediary Settlement Share and a Provisional Intermediary Settlement Account, it must submit to ATHEXCSD a relevant application and declare the following details of the Intermediary:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence
- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory

- f) The number of a unique identification certificate (LEI or BIC)
- g) The company's main object
- h) The contact details (address, telephone) of the Intermediary

**IX. Details for opening a Member Settlement Share (article 4.11, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Member Settlement Share and a Provisional Member Settlement Account, it must submit to ATHEXCSD a relevant application and declare the following details of the Member:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence
- e) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- f) The number of a unique identification certificate (LEI or BIC)
- g) The company's main object
- h) The contact details (address, telephone) of the Registered Intermediary

**X. Details for opening a Depository Share (article 4.12, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Depository Share and a Clients Securities Account for a CSD as a Registered Intermediary, In the framework of a Link provided by ATHEXCSD to the CSD in accordance with the provisions of article 2.1, Part 2, Section II as well as Section IX of the Rulebook, it must submit to ATHEXCSD a relevant application and declare the following details of the CSD:

- a) The legal name of the company
- b) The details of the legal representative as designated by the competent body of the legal person
- c) The country of registered office and tax residence

- d) The Tax Registration Number (TRN) for domestic entities
- e) The number of a unique identification certificate (LEI or BIC)
- f) The contact details (address, telephone) of the Depository
- g) The details of the Cash Settlement Account that the CSD will use at the Cash Settlement Agent.
- h) The legally valid operating license of the CSD in accordance with the law governing it
- i) The type of Link provided by ATHEXCSD to the CSD in accordance with article 2.1, Part 2, Section II and Section IX of the Rulebook.

**XI. Details for opening a System Operator Share (article 4.13, Part 4, Section III of the Rulebook)**

In order for a Participant to open a System Operator Share and a Securities Account for a System Operator, it must submit to ATHEXCSD a relevant application and declare the following details of the System Operator:

1. If the System Operator acts itself as a Participant of the Securities Account:
  - a) The legal name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) The country of registered office, nationality and tax residence
  - d) The Tax Registration Number (TRN) for entities headquartered within Greek territory
  - e) The number of a unique identification certificate (LEI or BIC)
  - f) The contact details (address, telephone)
  - g) The details of the Cash Settlement Account to be used by the System Operator at the Cash Settlement Agent.
  - h) The legally valid operating license of the System Operator in accordance with the law governing it
  - i) The type of access provided by ATHEXCSD to the System Operator in accordance with article 4.1, Part 4, Section V of the Rulebook.
  
2. If the System Operator acts as a Client of the Participant:
  - a) The legal name of the company

- b) The details of the legal representative as designated by the competent body of the legal person
- c) The country of registered office and tax residence
- d) The Tax Registration Number (TRN) for domestic entities
- e) The number of a unique identification certificate (LEI or BIC)
- f) The legally valid operating license of the System Operator in accordance with the law governing it
- g) The contact details (address, telephone) of the client

**XII. Details for opening a Trading Venue Operator Share (article 4.14, Part 4, Section III of the Rulebook)**

In order for a Participant to open a Trading Venue Operator Share and a Securities Account for the Trading Venue Operator, it should submit to ATHEXCSD a relevant application and declare the following details of the Trading Venue Operator:

1. If the Trading Venue Operator acts itself as a Participant of the Securities Account:
  - a) The legal name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) The country of registered office and tax residence
  - d) The Tax Registration Number (TRN) for domestic entities
  - e) The number of a unique identification certificate (LEI or BIC)
  - f) The contact details (address, telephone) of the Trading Venue Operator
  - g) The details of the Cash Settlement Account to be used by the System Operator at the Cash Settlement Agent
  - h) The legally valid operating license of the Trading Venue Operator in accordance with the law governing it
  - i) The type of access provided by ATHEXCSD to the Trading Venue Operator in accordance with article 4.1, Part 4, Section V of the Rulebook.
2. If the Trading Venue Operator acts as a Client of the Participant:
  - a) The legal name of the company
  - b) The legally valid operating license of the Operator in accordance with the law governing it



- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office and tax residence
- e) The Tax Registration Number (TRN) for domestic entities
- f) The number of a unique identification certificate (LEI or BIC)
- g) The contact details (address, telephone) of the Trading Venue Operator.

**XIII. Details for opening a Joint Investor Share (article 5.1, Part 5, Section III of the Rulebook)**

To open a Joint Investor Share and a Securities Account in it, the Participant should submit to ATHEXCSD a relevant application and declare the details as laid down in points b), c) and d) of par. 5, article 5.1, Part 5, Section III of the Rulebook, and in addition:

- a) The information chosen by the Participant to identify in the DSS the Joint Investor Share and its Securities Account (e.g. alphanumeric code, symbol or any other identifier acceptable in accordance with the technical procedures of ATHEXCSD).
- b) The Registry Share Code Number (RSCN) of the Client Share of each joint beneficiary
- c) The indicator of succession (yes/no) depending on whether application of the condition of subparagraph (a) of the relevant article of Law 5638/1932 has been declared. In accordance with point d) of par. 5, article 5.1, Part 5, Section III of the Rulebook:
  - 1. If 'Yes' has been declared, paragraph 9 of the aforesaid article shall apply.
  - 2. If 'No' has been declared, paragraph 8 of the aforesaid article shall apply.
- d) The following details of the representative of the joint beneficiaries as laid down in point b) of par. 5, article 5.1, Part 5, Section III:
  - 1. Full Name
  - 2. The contact details (address, telephone) of the representative of the joint beneficiaries

**XIV. Details for opening a Co-Owner Share (article 5.2, Part 5, Section III of the Rulebook)**

To open a Co-Owner Share and a Securities Account in it, the Participant should submit to ATHEXCSD a relevant application and declare the details as laid down in point b) of par. 5, article 5.2, Part 5, Section III of the Rulebook, and in addition:

- a) The information chosen by the Participant to identify in the DSS the Co-Owner Share and its Securities Account (e.g. alphanumeric code, symbol or any other identifier acceptable in accordance with the technical procedures of ATHEXCSD).
- b) The RSCN of the Client Share of each Co-owner
- c) The percentage of co-ownership of each Co-Owner
- d) The following information of the representative of the Co-owners as laid down in point b) of par. 5, article 5.2, Part 5, Section III:
  - i. The full name or legal name of the representative
  - ii. The contact details (full name of the person responsible, address, telephone) of the representative.

**XV. Details for opening a Clients Collateral Share (article 5.3, Part 5, Section III of the Rulebook)**

In order for a Participant to open a Clients Collateral Share and a Registered Intermediary Clients Securities Account for a Participant as a Registered Intermediary, it should submit to ATHEXCSD a relevant application and provide the following:

- a) The details of the Participant as a Registered Intermediary which are required in accordance with article III hereof
- b) The details of the Market Infrastructure Operator where it acts as a Member
- c) The details concerning its capacity as a Member of the aforesaid Market Infrastructure Operator
- d) Any other technical or procedural details that may be requested by ATHEXCSD depending on the type of access provided by it to the relevant Market Infrastructure Operator in accordance with articles XI and XII hereof.

**XVI. Details for opening a Trust Share (article 5.4, Part 5, Section III of the Rulebook)**

In order to open a Trust Account and a Client Securities Account for a Trust or Trustee, the Participant should submit to ATHEXCSD a relevant application and declare the following details of the trust or the trustee:

- a) The full name or legal name, as applicable

- b) The identification details in the case of a natural person (ID Card no. or other official identifier) or the registration number in the relevant register in the case of a legal person
- c) The country in which the registered office is located in the case of a legal person or nationality and citizenship in the case of a natural person
- d) The details of the legal representative as designated by the competent body of the legal person
- e) The country of tax residence
- f) The Tax Registration Number (TRN) for domestic natural persons or for legal persons headquartered in Greek territory
- g) The profession in the case of a natural person or the main object in the case of a legal person
- h) The number of a unique identification certificate (LEI or BIC) in the case of a legal person, the Social Security Number or Personal number in the case of a natural person.
- i) The contact details (full name of the person responsible in the case of a legal entity, address, telephone number) of the trust or trustee

**XVII. Details for opening an Escrow & Compulsory Deposit Share (article 5.5, Part 5, Section III of the Rulebook)**

1. In order for a Participant to open an Escrow & Compulsory Deposit Share and a Client Securities Account for an escrow agent, it should submit to ATHEXCSD a relevant application and declare the following details of the escrow agent:
  - a) The full name or legal name of the escrow agent as applicable
  - b) The identification details in the case of a natural person (ID Card no. or other official identifier) or the registration number in the relevant register in the case of a legal person
  - c) The nationality and citizenship in the case of a natural person
  - d) The country in which the registered office is located in the case of a legal person
  - e) The details of the legal representative as designated by the competent body of the legal person
  - f) The country of tax residence
  - g) The Tax Registration Number (TRN)

- h) The profession in the case of a natural person or the main object in the case of a legal person
  - i) The number of a unique identification certificate (LEI or BIC) in the case of a legal person, the Social Security Number or Personal number in the case of a natural person.
  - j) The contact details (address, telephone number) of the escrow agent
  - k) The type of escrow relationship or other similar relationship in accordance with applicable provisions, particularly articles 831 to 833 of the Civil Code
2. In order to open a Consignment Deposits and Loans Fund (CDLF) Share, the Participant (which may be ATHEXCSD itself) should submit to ATHEXCSD the following information:
- a) The legal name
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) The country of the registered office
  - d) The Tax Registration Number (TRN)
  - e) The number of a unique identification certificate (LEI or BIC)
  - f) The contact details (address, telephone) of the CDLF
  - g) The type of compulsory deposit relationship on the basis of the provision governing it

**XVIII. Supporting documents for opening a Public Body Share (article 5.6, Part 5, Section III of the Rulebook)**

To open a Public Body Share and/or a Client Securities Account for the Public Body, the Participant should submit to ATHEXCSD the following information:

- a) The legal name of the Public Body
- b) The details of a foreign Public Body
- c) The details of the legal representative of the Public Body
- d) The Government Gazette issue containing the incorporation details of the Public Body
- e) The Tax Registration Number (TRN)

- f) The contact details (address, telephone number) of the Public Body
- g) The applicable provisions of the Public Body on the basis of its characteristics
- h) Any special conditions concerning the holding of Securities by the Public Body as applicable.

**XIX. Details for Opening an Issuer Share (Part 6, Section III of the Rulebook)**

1. To open an Issuer Share and a Transitory Account for an Issuer to which ATHEXCSD provides the Initial Recording Service and/or Registry Service, ATHEXCSD records in the DSS the following details of the Issuer as submitted by the latter to ATHEXCSD, together with the relevant application for the provision of the above services:
  - a) The legal name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) The country of registered office and tax residence
  - d) The Tax Registration Number (TRN) for entities headquartered within Greek territory
  - e) The number of a unique identification certificate (LEI or BIC)
  - f) The company's main object
  - g) The contact details (address, telephone number) of the Issuer.

**XX. Details for opening a CSD Direct Link Share (article 7.1, Part 7, Section III of the Rulebook)**

ATHEXCSD opens a CSD Direct Link Share and a related Technical Account in the name of the CSD in the framework of a Direct Link that it maintains with the CSD in accordance with the Rulebook. To open the aforesaid Share and Account, ATHEXCSD registers the following information concerning the CSD:

- a) The legal name of the company
- b) The details of the legal representative as designated by the competent body of the legal person
- c) The country of registered office and tax residence

- d) The Tax Registration Number (TRN) for entities headquartered within Greek territory
- e) The number of a unique identification certificate (LEI or BIC)
- f) The contact details (address, telephone) of the CSD
- g) Any specific information regarding the type of Direct Link.

**XXI. Details for opening an Intermediary Indirect Link Share (article 7.2, Part 7, Section III of the Rulebook)**

ATHEXCSD opens an Intermediary Indirect Link Share and a relevant Technical Account in the name of an Intermediary in the framework of an Indirect Link that it maintains with the Intermediary in accordance with the Rulebook. To open the aforesaid Share and Account, ATHEXCSD registers the following information concerning the Intermediary:

- a) The legal name of the company
- b) The registration number in the relevant register
- c) The details of the legal representative as designated by the competent body of the legal person
- d) The country of registered office, nationality and tax residence
- e) The Tax Registration Number (TRN) for domestic entities
- f) The number of a unique identification certificate (LEI or BIC)
- g) The profession or main object of the Intermediary
- h) The contact details (address, telephone) of the Intermediary
- i) Any specific information regarding the type of Indirect Link.

**XXII. Details for opening an ATHEXCSD Investor Share (article 7.3, Part 7, Section III of the Rulebook)**

ATHEXCSD opens an ATHEXCSD Investor Share and a Transitory Account in it in the framework of Direct Links or Indirect Links which it maintains in accordance with the Rulebook. To open the aforesaid Share and Account, ATHEXCSD registers the following information:

- a) The details or distinguishing features assigned by ATHEXCSD to the relevant Share and Transitory Account for their identification in the DSS
- b) Any specific information regarding the type of Link, as applicable, on the basis of which the relevant information is registered.

#### **XXIII. Other Identifiers of Shares**

1. In addition to the details of articles I to XXII, ATHEXCSD, when opening a Share and a Securities Account in it, on the basis of the applications of Participants or on its own initiative where relevant provision has been made, records the following indicators:
  - a) Indicator of any specific tax treatment declared by the Participant
  - b) Indicator of general and specific categories to which the Share belongs for statistical purposes, as determined in accordance with provisions in force and specified by ATHEXCSD, which are provided by the Participant, and
  - c) Indicator of any other specific categories to which the Share belongs, which are determined and specified from time to time by ATHEXCSD.
2. When opening the Share and the Securities Account, ATHEXCSD, based on Participant's opening application, also records any trading code data that may be linked to the Securities Account for the purposes of settling transactions carried out using the relevant trading code.

#### **XXIV. Changes to the details and type of Share at the request of a Participant<sup>1</sup>**

1. Participants may request that ATHEXCSD makes changes to the details of the Shares kept in the DSS on their full and unconditional responsibility as follows:<sup>2</sup>
  - a. If the request is for changes to:

- i. the corporate name of a legal person,

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<sup>1</sup> A new article XXIV was added and the previous article XXIV was renumbered to XXV as above by virtue of decision 317/26.07.2021 of the Board of Directors with effect as of 02.08.2021.

<sup>2</sup> In addition to the changes of paragraph 1 with regard to Accounts existing up to 12.04.2021, it is also possible to change the type of Share in cases of (a) the change of a Client Share to a Fund Share, and (b) the change of a Client Share to a Public Body Share. In order for these changes to be made, a request must be submitted to ATHEXCSD. The recording of the changes is carried out on the basis of the procedure of paragraph 2.

- ii. the first name, surname, patronymic name in the case of natural persons,
- iii. details identifying a Joint Investor Share or Co-Owner Share

these are recorded in the DSS only by ATHEXCSD. In order for them to be recorded, the Participant must have submitted a relevant application along with any necessary detail and supporting document relating to the aforesaid changes.

b. In any other case, apart from recording by ATHEXCSD itself in accordance with subparagraph a. above, the relevant changes are recorded in the DSS by the Participant itself.<sup>3</sup>

2. The Participant submits the relevant request to the competent services of ATHEXCSD, attaching the necessary supporting documents, as these are stipulated in this Resolution, depending on the new type of Share to which the existing Share will be converted. The Participant is not required to re-submit supporting documents and data which it has already submitted to ATHEXCSD for the purpose of opening the existing Share, provided there has been no change to their content.
3. ATHEXCSD may, if it deems this to be necessary, request additional documentation in order to facilitate the procedure, or the reasons for the requested conversion of the existing Share.

#### **XXV. Deletion of inactive Securities Accounts (Part 8, par. 2, article 9.1, Part 9, Section III of the Rulebook)**

1. Securities Accounts are automatically deleted in the DSS:
  - a) Five (5) years after the date of the last entry in the relevant Securities Account and provided that the balance of the Securities Account is zero and there is no active link with a Joint Investor Share, Co-owner Share or Provisional Intermediary Settlement Account.
  - b) Three (3) months after the date of deactivation of the link to the relevant Participant Securities Account and provided that the balance of the Securities Account is zero and

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<sup>3</sup> Paragraph 1 of article XXIV was replaced as above by virtue of decision 326/28.02.2022 of the Board of Directors with effect as of 01.03.2022.



there is no active link with a Joint Investor Share, Co-owner Share or Provisional Intermediary Settlement Account.

2. In cases where a Share is deleted in accordance with instance a) of par. 1, any application for its reactivation which is submitted by the Participant after the aforesaid five-year period will be accepted subject to payment by the Participant of the fee prescribed in Resolution 18. If the application is submitted up until the business day immediately preceding the expiry of the five-year period, its acceptance will be free of charge.<sup>4</sup>

3. Shares that are deactivated in accordance with the above cases may be reactivated after a relevant application submitted by the Participant. Moreover, the account is deactivated subject to fulfilment of the above conditions as set out in subparagraph 1(a) and at the request of the Participant or the beneficiary which is submitted to ATHEXCSD.

4. If the deleted Securities Account of par. 1 relates to a Share that is subject to the consolidation procedure in accordance with Part 8, Section III of the Rulebook, and there is an active link with a Joint Investor Share, Co-owner Share or Provisional Intermediary Settlement Account, its deletion will take place at the request of the Participant.

5. A Securities Account will be deleted at the request of the Participant provided that:

- a) its balance is zero and there are no outstanding obligations or rights of the Participant vis-à-vis ATHEXCSD in accordance with paragraph 3, article 9.1, Section III of the Rulebook;
- b) there is no active link with a Joint Investor Share, Co-owner Share or Provisional Intermediary Settlement Account.

In cases where the Securities Account to which the aforementioned request relates contains balances of an informative nature, the Participant must also request the deletion of such balances.

6. The consolidation of Shares is carried out in accordance with the provisions of Part 8, Section III of the Rulebook, at the relevant request of the Participant which is submitted to ATHEXCSD in accordance with its procedures. If the relevant Securities Accounts contain

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<sup>4</sup> A new paragraph 2 was added to article XXV and the previous paragraph 2 was renumbered to 3 as above by virtue of Decision 321/25.10.2021 of the Board of Directors with effect as of 25.10.2021.

balances of an informative nature, the Participant must also request the deletion of such balances.<sup>5</sup>

#### **XXVI. Automated checks by the Participants on the correctness of registered client data**

ATHEXCSD carries out periodically, three (3) times a year, automated technical checks on the correctness of the entries in the active Client Shares in the DSS. These checks concern the detection of incomplete or incorrect entries in the DSS, as follows:

1. Client Shares where mandatory registration data have not been recorded. Such data must be filled in by the Participant.
2. Client Shares with a registered date of birth later than the date of creation of the Share or visibly incorrect. The Participant must correct this information as well.
3. Client Shares with invalid country indicator (code: '99' - other) and other inactive, which must be replaced by the correct country codes.
4. Client Shares, more than one per Client (multiple shares), appearing active, for which the Participant is required to send a relevant request to ATHEXCSD, to consolidate such Shares following a relevant confirmation with the corresponding Clients of the Participant. These Share cases include:
  - a) Client Shares.
  - b) Joint Investor Shares, with the same joint beneficiaries (i.e. with the same individual Client Share per joint beneficiary) and the same indicator of succession.
  - c) Shares of Co-Owners with the same 'Linked client shares' (irrespective of link order) and with the same co-ownership percentages
5. Deceased's shares where the transfer of securities from Participant Accounts to the Special Account is pending.

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<sup>5</sup> *New paragraphs 4, 5 and 6 were added to article XXV as above by virtue of decision 326/28.02.2022 of the Board of Directors with effect as of 01.03.2022.*

6. Deceased's shares where deactivation of Participant Accounts and their codes for transactions in derivatives on ATHEX markets is pending.
7. Client Shares with GR indicator as Country of Tax Residence, without VAT registration or with incorrect registration.
8. Client Shares of Legal Persons with balances, without registered LEI code or with false registration.

ATHEXCSD notifies the results of the above checks to the relevant Participants, so that they can make the relevant corrections/adjustments within a period of four (4) months from the notification date. The Participants must make the appropriate arrangements for completion of the corrections to the Shares within the above deadline.

Regarding Client Shares for which the date of death of the beneficiary has been registered following the relevant notification, ATHEXCSD carries out monthly checks for securities transfer movements after the date of death. In case that the relevant checks result in findings, ATHEXCSD notifies the results to the relevant Participants so that they can justify the findings within a period of one (1) month from the notification date.

ATHEXCSD notifies an annual summary of the results of these checks to the Hellenic Capital Market Commission.<sup>6</sup>

#### **XXVII. Client Share data uniqueness checks**

At the stage of assigning a new Client Share, the following uniqueness checks shall be performed:

1. When opening a Client Share where the Client is a natural person, successive checks shall be carried out on the following items:

1st Check: 'Certificate Number', 'Certificate Type' and 'Abbreviation'

2nd Check: 'Permanent identification number' via 'Social Security Number (AMKA)' or via 'Personal Number'.

3rd Check: 'Date of Birth', 'TIN' and 'Abbreviation' (only for natural persons with Greece as a country of tax residence).

It is not allowed to register a TIN in a Client Share with Greece as a country of tax residence, if the TIN to be recorded is already recorded in another Client Share in the DSS. In the case

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<sup>6</sup> *The last two paragraphs of Article XXVI have been replaced as above by virtue of decision 339/31.10.2022 by the Board of Directors with effect as of 31.10.2022*

of minors, the above TIN check does not apply and instead of the TIN, the indicator 'Not applicable' is entered.

If the above checks are successfully completed, a unique Client (natural person) Share number is assigned.

2. When creating a Joint Investor Share - JIS, in addition to the above checks, the data of the Linked Shares of natural persons are checked, regardless of the prioritization order, as well as any succession indicator.

If the above uniqueness check is completed successfully, a unique Joint Investor Share Number - JIS is assigned.

3. When creating a Co-owners Share, the data of the Linked Shares of natural persons with the same percentage shall be checked, regardless of the prioritization order.

If the above uniqueness check is completed successfully, a unique Co-owners Share Number - JIS is assigned.

4. When opening a Client Share where the Client is a natural person, successive checks shall be carried out on the following items:

1st Check: 'Certificate Number', 'Certificate Type' and 'Abbreviation'

2nd Check: 'TIN' and 'Abbreviation' (only for natural persons with Greece as a country of tax residence).

3rd Check: The 'Permanent identification number' via 'LEI' or 'BIC'.

If the above uniqueness checks are successfully completed, a unique Client (legal person) Share number is assigned.

## **I. Entry into force**

1. This resolution shall be posted on the website [www.athexgroup.gr](http://www.athexgroup.gr). This resolution shall have effect as of its publication, i.e., as of 12.04.2021.
2. The publication of this resolution is subject to the formalities of article 2.6, Part 2, Section I of the Rulebook.

## II. Annex I: ACCOUNT DETAILS KEPT PER SHARE TYPE

Mandatory (M) / Optional (O) / Non-Accessible Field (N/AF)					
Share Type		(1)	(2)	(5)	(3)
Field description	Values	Natural Person - Client	Legal Person - Client	Joint Investor Share - Client	Co-Owner Share - Client
Surname or legal name	A(200)	M	M	M	M
First name	A(30)	M	N/AF	N/AF	N/AF
Patronymic name	A(15)	M	N/AF	N/AF	N/AF
Investor Abbreviation	A15	N/AF	O	N/AF	N/AF
Date of birth	D(8)	M	N/AF	N/AF	N/AF
Country of Tax Residence	ISO 3166-2	M	M	N/AF	N/AF
Tax Registration Number	A(15)	M	M	N/AF	N/AF
Tax Office	A(15)	O	O	N/AF	N/AF
Share Type	N(1) 1-Natural person 2-Legal person 3-Co-Owner 4 - Issuer 5-Joint Investor	M	M	M	M

Share Category	<p>A1</p> <p>1=Market Maker in Securities 2=Market Maker in Derivatives 3=Member Settlement Share 4=Transitory Account of Issuer / Capital Manager Share 5=Intermediary Account 6=Market Maker in ETFs 7=Link Share (former Correspondent Share) 8=Fund Manager Shares and Fund Shares 9=Clients Collateral Share O=Client</p> <p>a=Share Account of Issuer of Unlisted Beneficiaries of Bearer Securities b=Share account of Issuer of unlisted registered securities c=Operator Share d=Clients e=Own Participant g=Trust Share j=Escrow Agent &amp; Forced Deposit Share k=Public Body Share</p>	M	M	M	M
Legal form	A(15)	N/AF	O	O	O
Profession	A(25)	M	M	N/AF	N/AF
Registered Office	A(80)	N/AF	O	N/AF	N/AF
Country of Registered Office	ISO 3166-2	N/AF	M	N/AF	N/AF
Legal representative	A(60)	N/AF	M	N/AF	N/AF
E-mail of the legal representative	A(64)	N/AF	O	N/AF	N/AF
Citizenship	ISO 3166-2	M	M	N/AF	N/AF
Type of identification certificate	<p>A(1)</p> <p>1 = ID CARD 2 = Passport 3 = Company Register Number 4 = REGISTRATION NO WITH THE GCR 9 = Other</p>	M	M	N/AF	N/AF
Number of identification certificate	A(25)	M	M	N/AF	N/AF

Certificate issue date	D(8)	O	O	N/AF	N/AF
Certificate issuing authority	A(60)	O	O	N/AF	N/AF
Certificate issuing country	ISO 3166-2	O	O	N/AF	N/AF
Type of unique identification certificate	<p>A (1)  Natural Person  1 = Social Security Number  4 = Personal ID  O (Latin) = Other</p> <p>Legal Person  2 = LEI  3 = BIC  O (Latin) = Other</p> <p>Not to be completed in the case of  Joint Investor and Co-Owner Shares</p>	M	M	N/AF	N/AF
Number of unique identification certificate of an investor	A(30)	M	M	N/AF	N/AF
Address	A(40)	M	M	N/AF	N/AF
Postcode	A(10)	M	M	N/AF	N/AF
City	A(20)	M	M	N/AF	N/AF
Country	ISO 3166-2	M	M	N/AF	N/AF
Phone	A(15)	M	M	N/AF	N/AF
Mobile Phone	A(15)	O	O	N/AF	N/AF
E-mail	A(64)	M	M	N/AF	N/AF
Custodian	A(69)	N/AF	O	N/AF	N/AF
<b>Contact Information</b>					
Contact person / Recipient	A(60)	O	O	Y	Y
Address	A(40)	O	O	Y	Y
Postcode	A(10)	O	O	Y	Y
City	A(20)	O	O	Y	Y
Country	ISO 3166-2	O	O	Y	Y
Phone	A(15)	O	O	Y	Y
Mobile Phone	A(15)	O	O	O	O
PO Box postcode	A(10)	O	O	O	O
PO Box number	A(10)	O	O	O	O
Client Code (Automated Integrated Trading System)	A(12)	M	M	M	M

Indicator of Investor Participation in cash distribution through Operators	A(1)	M	M	M	M
General Statistical Category	A(10)	M	M	M	M
Special Statistical Category	N(10)	O	O	O	O
Bank (BIC)	A (11)	N/AF	N/AF	N/AF	N/AF
IBAN	A (31)	N/AF	N/AF	N/AF	N/AF

Data of Co-Owners and Joint Beneficiaries			
Field		Joint Investor Share - Client	Co-Owner Share - Client
Joint Beneficiary/Co-Owner Investor Share code	A(10)	M	M
Participation percentage	N(6) 99.999 The percentage of participation of the relevant investor in the Group of Co-Owners. The field should be left blank when the entry concerns a Joint Share	N/AF	M
Succession condition for Joint Shares	A(1) Y = Yes N = No. Application of the condition that in the event of death of one of the joint beneficiaries, the securities are automatically transferred to the others in accordance with paragraph 1, article 2, Law 5638/1932. Field to be completed only in the case of Joint Shares.	M	N/AF
In Joint Investor and Co-Owner Shares, the fields 'Country of Tax Residence' and 'Citizenship' are automatically filled on the basis of the Country of Tax Residence and Citizenship of the joint beneficiaries. If it is joint, it is indicated as such by the word 'joint', if not, by the designation '99'.			



III. Annex II: INDICATORS OF GENERAL AND SPECIAL STATISTICAL CATEGORY OF INVESTOR SHARES IN THE DEMATERIALISED SECURITIES SYSTEM (DSS)

S/N	General Statistical Category Code (Economy Sector)	Description of General Statistical Category (Economy Sector)	Special Statistical Category Code (Economy Subsector)	Description of Special Statistical Category (Economy Subsector)
1	S_11	Non-financial undertakings	22401	Private companies whose main activity is the production of goods and non-financial services
			22402	Public companies whose main activity is the production of goods and non-financial services
			22403	Foreign private companies whose main activity is the production of goods and non-financial services
			22499	<b>Other Cases S_11</b>
2	S_121	Central Bank	10001 (*)	Central Bank
3	S_122		10002	Commercial banks

		<b>Credit Institutions and Multilateral Development Banks</b>		
			10003	Cooperative Banks
			10004	Branches of foreign credit institutions in Greece
			10005	Specialised Banks
		10006	Electronic Money Institutions	
		10007	Public Financial Institutions	
		10099	<b>Other cases S_122</b>	
4	S_125	<b>Other financial institutions</b>	11000	Special-purpose companies
		11001	Securities and derivatives intermediaries Stock Exchange Companies (Members of Athens Stock Exchange)	

			11002	Securities and derivatives intermediaries Stock Exchange Companies (Non-Members of Athens Stock Exchange)
			11003	Financial companies engaged in granting loans
			11099	<b>Other cases S_125</b>
	<b>S_126<sup>7</sup></b>	<b>Auxiliary financial institutions and bodies</b>	12601	Public Auxiliary financial institutions and bodies
			12602	Domestic Private Auxiliary financial institutions and bodies
			12603	Foreign controlled Private Auxiliary financial institutions and bodies

<sup>7</sup> Field S126 was added as above by virtue of Decision no. 322/29.11.2021 of the Board of Directors of ATHEXCSD with effect as of 29.11.2021.

	<b>S_127<sup>8</sup></b>	<b>Holding Companies and specialized lenders</b>	12701	Public Holding Companies and specialized lenders
			12702	Domestic Holding Companies and specialized lenders
			12703	Foreign Controlled Holding Companies and specialized lenders
5	<b>S_123</b>	<b>Market Mutual Funds</b>	15001	Mutual Funds
			15002	Undertakings for Collective Investment in Transferable Securities (UCITS)

<sup>8</sup> Field S127 was added as above by virtue of Decision no. 322/29.11.2021 of the Board of Directors of ATHEXCSD with effect as of 29.11.2021.

			15003	Public Collective Investment Organizations
			15099	<b>Other cases S_123</b>
6	<b>S_1311</b>	<b>Central Government</b>	21101	General Government Bodies (Ministries)
			21102	Central Government Legal Entities and Public Enterprises (legal persons governed by public law, legal persons governed by private law)
			21199	<b>Other cases S_1311</b>
7	<b>S_1313</b>	<b>Local Government</b>	21111 (*)	Local Authorities and their Supervised Bodies (legal persons governed by public law, legal persons governed by private law)
8	<b>S_1314</b>	<b>Social Security Institutions</b>	21120	Insurance Funds
			21999	<b>Other Cases S_1314</b>

9	S_124	Portfolio investment companies, Real estate investment companies, Other (minus money market) mutual funds	22101	Open-ended investment funds whose mutual fund shares, at the request of the bearers, are acquired or paid directly or indirectly from the assets of the company
			22102	Closed-type investment funds with fixed share capital
			22103	Funds invested in real estate
			22104	Investment funds investing in other mutual funds
22105	Hedge Funds			
22199	<b>Other Cases S_124</b>			
10	S_128	Insurance Companies	22241	General Insurance
			22242	Life Insurance

			22243	Pension, Ancillary Own Funds
			22244	Reinsurance undertaking
			22245	Insurance brokerages
			22299	<b>Other Cases S_128</b>
11	S_129	<b>Professional private insurance funds</b>	22300 (*)	Professional private insurance funds
12				

13	S_14	Private individuals, self-employed, farmers and sole proprietors	22511	Natural Persons	
				22512	Sole Proprietors
				22513	Joint Investor Share (JIS) or Co-Owners Share
				22599	Other Cases S_14
14	S_15	Private non-profit institutions	22601	Trade Unions	
				22602	Private Charities, Church
				22603	Associations
				22699	Other Cases S_15



15	<b>S_22</b>	<b>International organizations outside the EU</b>	22700 (*)	International Organizations outside the European Union
16	<b>S_212</b>	<b>EU organizations</b>	22800 (*)	Organizations within the European Union (e.g. European Investment Bank)
	(*) In these cases, due to the absence of other possible options in the economy subsector, the Participant is not required to register a special statistical category.			