

## DISCLAIMER

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## RESOLUTION No 16

### "Technical terms and procedures for the Service of Provision Information on Securities"

Codified to include the decisions dated 22.02.2021 and 19.12.2022 of the Board of Directors.

#### THE BOARD OF DIRECTORS OF HELLENIC CENTRAL SECURITIES DEPOSITORY S.A (ATHEXCSD)

(Meeting 341/19.12.2022)

Having regard to:

The provisions of Part 8 of Section X of the Rulebook of the Greek Central Securities Depository (hereinafter referred to as the "Rulebook") and the need to regulate the technical terms and procedures relating to the provision of information to beneficiaries and other entitled persons in accordance with Articles 13, 15, 20 and 22 of Law 4569/2018

#### ISSUES THIS RESOLUTION AS FOLLOWS:

##### I. Scope of application

1. This Resolution defines the technical terms and procedures relating to the Service of Provision Information on Securities (hereinafter the Service).
2. The Service shall be provided to the following persons and bodies:

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- a) to beneficiaries of Own Securities Accounts, Customer Securities Accounts as well as to Registered Intermediaries of Customer Securities Accounts
- b) to beneficiaries registered in the D.S.S. of rights in rem on Securities in accordance with Article 13 par. 5 of Law 4569/2018 to lenders who seek to seize against a beneficiary of Own Securities Account and a Customer Securities Accounts in accordance with Article 24 of Law 2915/2001
- c) to lenders who seek to seize against a beneficiary of Own Securities Account and a Customer Securities Accounts in accordance with Article 24 of Law 2915/2001
- d) to the Hellenic Capital Market Commission, the Bank of Greece or other Authorities and Bodies, such as, indicatively, AADE [(IAPR) Independent Authority of Public Revenue], the Anti-Monet Laundering Authority of Law 4557/2018, in the context of the performance of their statutory duties (hereinafter the "Competent Authorities") in accordance with Article 22 par. 2 of Law 4569/2018
- e) to Trading Venue Operators where Securities held in the D.S.S. are traded, pursuant to Article 22 par. 5 of Law 4569/2018
- f) to System Operators connected to the D.S.S., in the context of the use of the Settlement Service, in particular, in accordance with Article 22 par. 2 of Law 4569/2018
- g) to C.S.D., in the context of the use of Depository Services where Securities held in the D.S.S. are traded, pursuant to Article 22 par. 5 of Law 4569/2018 and
- h) to any other person provided it has a legitimate interest in using the Service.

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## II. General terms of use of the Service

1. The Service shall be provided upon request of the entitled, pursuant to par. 2, person or body, submitted on the basis of the procedures of ATHEXCSD. For the satisfaction of the relevant request, the entitled person or body shall submit to ATHEXCSD the data, supporting documents or relevant legal documents required, where applicable, or requested by ATHEXCSD.
2. ATHEXCSD shall examine the relevant request and, if the required conditions for legalization are met, it shall proceed to the satisfaction of the request.
3. Requests of sentences a, b, c, e, f and g of par. 2 of Chapter I hereof shall be satisfied no later than within a time limit of fifteen (15) days from the date of their submission to ATHEXCSD.
4. Requests of sent. d of par. 2 of Chapter I hereof shall be categorized by ATHEXCSD depending on the type and content of the request and, where appropriate, the procedures to be carried out in order to collect and verify the requested information. The satisfaction of these requests may be differentiated regarding time, based on the requirements of each request.
5. In any case, the satisfaction of the relevant request may be conducted in paper or electronic form, by choice of the applicant.
6. Especially in the sent. a of par. 2 of Chapter I hereof, the beneficiaries may proceed, for the receipt of the relevant data of their Securities Accounts, to the use of Axiaweb or AxiaSMS / AxiaEMAIL services provided by ATHEXCSD as follows:
  1. Axiaweb service is online and is provided directly to the beneficiaries if they have been entitled as its users. For the use of the service, the beneficiaries shall receive passwords from ATHEXCSD following a relevant written request to it, submitted in accordance with its procedures. Furthermore, in accordance with the procedures announced by ATHEXCSD, beneficiaries may be connected to the Service, using their Eidas service codes, **while without using the passwords the beneficiaries**

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- may search the Share Code Number and the Securities Account Code Number at the DSS (service “Search of Share Code Number & Securities Account Code Number at the DSS by Beneficiaries”), in accordance with paragraph 7 of the current section.<sup>1</sup>
2. AxiaSMS / AxiaEMAIL service is performed by using a mobile telephony service or online and it is provided through a Participant, provided that it has been entitled as its user and sub-provider, in accordance with the procedures of ATHEXCSD. The Beneficiary of a Securities Account may use the service through the Participant, as a sub-provider who handles the relevant Securities Account, upon registration conducted with it.
7. Through the Axiaweb service, without using the passwords, it is possible for a natural beneficiary or the legal representative of a legal beneficiary to search the Share Code Number and the Securities Account Code Number at the DSS (service “Search of Share Code Number & Securities Account Code Number at the DSS by Beneficiaries”), in the following way:
1. For a search by a natural beneficiary, the following details of paragraph “XXVII. Client Share data uniqueness checks” of Resolution 4 of ATHEXCSD are compulsorily recorded and indicate uniquely the Beneficiary’s Share:
    - i. Type of identification certificate
    - ii. Number of identification certificate
    - iii. Type of unique identification certificate
    - iv. Number of a unique identification certificate (Social Security Number or Personal number for a natural person)
    - v. Tax Registration Number
    - vi. Last name
    - vii. First name
    - viii. Father’s name

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<sup>1</sup> Paragraph 6(a) of Section II was replaced as above by virtue of decision 341/19.12.2022 by the Board of Directors with effect as of 02.01.2023

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- ix. Date of Birth
2. For a search by the legal representative of a legal beneficiary, the following details of paragraph “XXVII. Client Share data uniqueness checks” of Resolution 4 of ATHEXCSD are compulsorily recorded and indicate uniquely the Share of the Beneficiary:
- i. Type of identification certificate
  - ii. Number of identification certificate
  - iii. Type of unique identification certificate
  - iv. Number of unique identification certificate (LEI or BIC)
  - v. Tax Registration Number
  - vi. Legal name of the company
3. Provided that the Client Share is identified based on the recorded details of paragraphs (a) and (b) above, the Share Code Number and the Securities Account Code Number are sent via email to the email address and via sms to the phone number, already recorded in the Share by the responsible Participant. Per share and phone number of Beneficiary, the information is sent by sms only if the Beneficiary is identified. In case of failure to identify the Share using the above details or if the Share identified does not have a recorded email address or phone number, submission of a request for provision of information from the Beneficiary to ATHEXCSD is required for communication of the required code numbers in accordance with paragraphs 1 to 5 of this section.<sup>2</sup>
8. Moreover, the search of Share Code Number and Securities Account Code Number at the DSS can be carried out by a Participant on behalf of a Beneficiary through a DSS screen, by recording all the necessary details of the unique identification of the Beneficiary’s Share at DSS, as specified in paragraph 7 (a) and (b), depending on the case, of this Section. Based on the above details, a search of the

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<sup>2</sup> Paragraph 7 was added to Section II as above by virtue of decision 341/19.12.2022 by the Board of Directors with effect as of 02.01.2023

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Beneficiary's Share is carried out at DSS and an update is sent directly to the beneficiary via email or sms, in compliance with the terms and procedure defined in paragraph 7(c) of this Section (service "Search of Share Code Number & Securities Account Code Number at DSS for use by a Participant").<sup>3</sup>

### III. Service Provision in accordance with Chapter I (2) a – c

1. For the provision of the Service to the beneficiaries, as appropriate, of sent.a - c of par. 2 of Chapter I hereof, the beneficiary must present the evidence to prove its identity.
2. These data should be identical to the data already registered in the D.S.S. relating to the relevant Securities Account. In case of non-identification of the above data, in order to satisfy the request of the beneficiary, a verification and correct registration of its data should be conducted in advance through the Participant who holds the relevant Securities Accounts.
3. In the case of requests of Registered Intermediaries for Customer Securities Accounts held in their name, as well as Participants for Own Securities Accounts, as well as for use of the Search of Share Code Number & Securities Account Code Number at DSS by Beneficiaries service and Search of Share Code Number & Securities Account Code Number at DSS for use by a Participant service, as described in paragraphs 7 and 8 of Section II respectively, identification shall be automatically carried out through the data registered with D.S.S.<sup>4</sup>
4. The data provided in the cases of the above requests shall be the provided for in par. 2 of Article 8.1 of Section X.

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<sup>3</sup> Paragraph 8 was added to Section II as above by virtue of decision 341/19.12.2022 by the Board of Directors with effect as of 02.01.2023

<sup>4</sup> Paragraph 3 of Section III was replaced as above by virtue of decision 341/19.12.2022 by the Board of Directors with effect as of 02.01.2023

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### **IV. Service Provision in accordance with Chapter I (2) d**

1. For the provision of the Service, the Competent Authority of sent. d of par. 2 of Chapter I shall submit the relevant request for information in the framework of the performance of its statutory duties.
2. The provision of data may relate to each Securities Accounts without restrictions . The data provided in the cases of the relevant request shall be the provided for in par. 2 of Article 8.1 of Section X and any other information kept by ATHEXCSD in its records in accordance with Article 2.4 of Section I. In the context of a request submitted by the Competent Authority, ATHEXCSD may also carried out identification procedures for beneficiaries, pursuant to sent. b of par. 1 of Article 1.1 of Section VIII of the Rulebook, subject to the conditions, in each case, of Article 15 and par. 5 of Article 17 of Law 4569/2018.

### **V. Service Provision in accordance with Chapter I (2) e-g**

1. For the provision of the Service, the Trading Venue Operator, the System Operator or the C.S.D. of sent. e - g of par. 2 of Chapter I shall submit the relevant request for information in the framework of the performance of its statutory duties, where applicable.
2. The provision of data may relate to any Securities Account related to the operation of the Trading Venue Operator, the System Operator or the C.S.D. and the relevant Securities Services received by ATHEXCSD.
3. The data provided in the cases of the above requests shall be the provided for in par. 2 of Article 8.1 of Section X.

### **VI. Entry into force**

1. This resolution shall be made public via the website [www.athexgroup.gr](http://www.athexgroup.gr) . This shall become effective from its publication, namely from 12.04.2021.

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2. The publication hereof shall be subject to the formalities set out in Article 2.6 of Part 2 of Section I of the Rulebook.