

## DISCLAIMER

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## RESOLUTION No 4

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

**THE BOARD OF DIRECTORS**  
**OF THE GREEK CENTRAL SECURITIES DEPOSITORY SOCIETE ANONYME (ATHEXCSD)**  
(Meeting 22.02.2021)

Having regard to:

1. The provisions of Article 2.6 of Part 2 of Section I and of Articles 4.3 of Part 4, as well as Parts 5 to 10 of Section III of the Rules of Operation of the Greek Central Securities Depository (hereinafter the 'Rulebook'), and
2. the need to specify the data required to be submitted and registered in ATHEXCSD for the needs of use and operation of the Central Maintenance Service,

### **DECIDES AS FOLLOWS:**

#### **Scope of application**

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

#### **I. Data for opening an Own Share (Article 4.4 of Part 4 of 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 Participant status:

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- a) The 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The 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. Data for opening an Own Share (Article 4.4 and 4.5 of Part 4 of 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 name or company 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 the 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 where the registered office of the client 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

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- g) The Tax Registration Number (TIN) for domestic natural persons or the Value Added Tax Identification Number (VAT No) for domestic legal persons
- h) The unique code (identifier) of a permanent 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 of Part 4 of Section III of the Rulebook)**

In order for a Participant to open a Registered Intermediary Share and a Client 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 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The main object
- h) The contact details (address, telephone) of the Registered Intermediary

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

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

- a) The 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent 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 of Part 4 of Section III of the Rulebook)**

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

- a) The 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

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- e) The Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The 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 of Part 4 of 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 name of the company
- b) The details of the legal representative as designated by the competent body of the legal person
- c) Country of registered office and tax residence
- d) The Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- f) The contact details (address, telephone) of the Fund Manager
- g) The legal (valid) license for managing funds for collective or alternative investments held by the Fund Manager in accordance with the law governing it
- h) The data specifying the Tradable Fund or Non-Tradable Fund in relation to which ATHEXCSD shall provide to the Fund Manager the Initial Recording Service and/or the Registry Service.

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### **VII. Details for opening of Fund Share (Article 4.9.2 of Part 4 of Section III of the Rulebook)**

In order for a Participant to open a Fund Share and Client Securities Account for a Tradable Fund or Non-Tradable 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 Tradable Fund or Non-Tradable Fund in accordance with points (a) to (g) of paragraph VI hereof.
- b) The data concerning the Tradable Fund or Non-Tradable Fund for which the relevant Fund Share is to be opened.

### **VIII. Details for opening an Intermediary Settlement Share (Article 4.10 of Part 4 of 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 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The main object

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- h) The contact details (address, telephone) of the Intermediary

### **IX. Details for opening a Member Settlement Share (Article 4.11 of Part 4 of 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 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The main object
- h) The contact details (address, telephone) of the Registered Intermediary

### **X. Details for opening a Depository Share (Article 4.12 of Part 4 of 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 of Part 2 of 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:

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- a) The name of the company
- b) The details of the legal representative as designated by the competent body of the legal person
- c) Country of registered office and tax residence
- d) The Value Added Tax Identification Number (VAT No) for domestic entities
- e) The unique code (identifier) of a permanent 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 valid operating license of the CSD in accordance with the law governing it
- i) The type of the Link provided by ATHEXCSD to CSD in accordance with Article 2.1 of Part 2 of Section II and Section IX of the Rulebook.

## **XI. Data for opening a System Operator Share (Article 4.13 of Part 4 of 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 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 Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
  - e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
  - f) Contact details (address, telephone)



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- g) The details of the Cash Settlement Account to be used by the System Operator at the Cash Settlement Agent.
  - h) The 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 of Part 4 of Section V of the Rulebook.
2. If the System Operator acts as a Client of the Participant:
- a) The name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) Country of registered office and tax residence
  - d) The Value Added Tax Identification Number (VAT No) for domestic entities
  - e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
  - f) The 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 of Part 4 of 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 name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) Country of registered office and tax residence

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- d) The Value Added Tax Identification Number (VAT No) for domestic entities
- e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- f) The contact details address, telephone) The details of the Cash Settlement Account to be used by the System Operator at the Cash Settlement Agent.
- g) The valid operating license of the Trading Venue Operator in accordance with the law governing it
- h) The type of access provided by ATHEXCSD to the Trading Venue Operator in accordance with Article 4.1 of Part 4 of Section V of the Rulebook.

### 2. If the Trading Venue Operator acts as a Client of the Participant:

- a) The name of the company
- b) The 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) Country of registered office and tax residence
- e) The Value Added Tax Identification Number (VAT No) for domestic entities
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) Contact details (address, telephone)

### **XIII. Details for opening a Joint Investor Share (Article 5.1 of Part 5 of 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 following details as laid down in Article 5.1 (5)(b), (c) and (d) of Part 5 of Section III and in addition:

- a) The information that the Participant deems appropriate for the identification of the Joint Investor Share and the Securities Account in the DSS (e.g. alphanumeric code,

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symbol or any other distinctive feature accepted under the technical procedures of ATHEXCSD).

- b) The RSCN of the Client Share of each co-beneficiary
- c) The indication of succession (yes/no) depending on whether the application of the condition of subparagraph (a) of the relevant Article of Law 5638/1932 has been declared. In accordance with Article 5.1 (5) point (d) of Part 5 of Section III of the Rulebook:
  - 1. If 'Yes' has been declared, paragraph 9 of the above Article shall apply.
  - 2. If 'No' has been declared, paragraph 8 of the above Article shall apply.
- d) The following details of the representative of the co-beneficiaries as laid down in Article 5.1(5)(b) of Part 5 of Section III:
  - 1. Full Name
  - 2. The contact details (address, telephone) of the representative of the co-beneficiaries

#### **XIV. Details for opening a Co-Owner Share (Article 5.2 of Part 5 of 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 following details as laid down in Article 5.2 5(b) of Part 5 of Section III and in addition:

- a) The information that the Participant deems appropriate for the identification of the Co-Owner Share and the Securities Account in the DSS (e.g. alphanumeric code, symbol or any other distinctive feature accepted under the technical procedures of ATHEXCSD). The RSCN of the Client Share of each co-owner
- b) The percentage of co-ownership of each Co-Owner
- c) The following information of the representative of the Co-owners as laid down in Article 5.2(5)(b) of Part 5 of Section III:

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- i. Its name or company name
- ii. The contact details (full name of person in charge, address, telephone) of the representative of the Co-Owners.

### **XV. Details for opening a Clients Collateral Share (Article 5.3 of Part 5 of 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 declare the following details:

- 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 status as a Member of the above Market Infrastructure Operator
- d) Any other technical or procedural element that may be requested by ATHEXCSD depending on the type of access provided by it to the relevant Market Infrastructure Operator in accordance with paragraphs XI and XII hereof.

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

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

- a) Its name or company name
- b) Identity in the case of a natural person (ID card No or other official identification) or the registration number in the relevant register in the case of a legal person

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- c) The country of residence 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 (TIN) for domestic natural persons or the Value Added Tax Identification Number (VAT No) for domestic legal persons based in the 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 manager of the legal entity, address, telephone number) of the trust or the trustee

## **XVII. Details for opening an Escrow & Compulsory Deposits Share (Article 5.5 of Part 5 of Section III of the Rulebook)**

- 1. In order for a Participant to open an Escrow & Compulsory Deposits Share Fund 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 name or company name of the escrow agent as appropriate
  - b) Identity in the case of a natural person (ID card No or other official identification) 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 where the registered office is located, in the case of a legal person

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- 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 VAT Registration Number
  - 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 the applicable provisions, such as in particular Articles 831 to 833 of the Civil Code
2. In order for the Participant to open a CDLF Share (even ATHEX itself), it should submit to ATHEXCSD the following information:
- a) Company 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 VAT Registration Number
  - e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
  - f) The contact details (address, telephone) of the CDLF
  - g) The type of compulsory deposit relationship based on the provision governing it

## **XVIII. Supporting documents for opening a Public Body Share (Article 5.6 of Part 5 of 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:

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- a) The name of the Public Body
- b) Details for a foreign public body
- c) The details of the legal representative of the Public Body
- d) The Government Gazette containing the incorporation data of the Public Body
- e) The VAT Registration Number
- f) The contact details (address, telephone number) of the Public Body
- g) The applicable provisions of the Public Body based on its characteristics
- h) Any special conditions concerning the holding of Securities by the Public Body as appropriate.

### **XIX. Details for Opening an Issuer Share (Part 6 of 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 the Registry Service, ATHEXCSD registers in the DSS the following details of the Issuer as submitted to ATHEXCSD by it, together with the relevant application for the provision of the above services:
  - a) The name of the company
  - b) The details of the legal representative as designated by the competent body of the legal person
  - c) Country of registered office and tax residence
  - d) The Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
  - e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
  - f) The main object
  - g) The contact details (address, telephone number) of the Issuer.

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

ATHEXCSD opens a CSD Direct Link Share and a related Technical Account on behalf of the CSD in the framework of a Direct Link that it maintains with the CSD in accordance with the Rulebook. For the opening of the above share and account, ATHEXCSD registers the following information concerning the CSD:

- a) The name of the company
- b) The details of the legal representative as designated by the competent body of the legal person
- c) Country of registered office and tax residence
- d) The Value Added Tax Identification Number (VAT No) for entities headquartered within the Greek territory
- e) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- f) The contact details (address, telephone) of the CSD
- g) Any particular information regarding the type of the Direct Link.

### **XXI. Details for opening an Intermediary Indirect Link Share (Article 7.2 of Part 7 of 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. For the opening of the above share and account, ATHEXCSD registers the following information concerning the Intermediary:

- a) The name of the company
- b) The registration number in the relevant register



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- 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 Value Added Tax Identification Number (VAT No) for domestic entities
- f) The unique code (identifier) of a permanent identification certificate (LEI or BIC)
- g) The profession or main object
- h) The contact details (address, telephone) of the Intermediary
- i) Any particular information regarding the type of the Indirect Link.

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

ATHEXCSD opens an ATHEXCSD Investor Share (Investor CSD) and a Transitory Account in it in the framework of Direct Links or Indirect Links maintained in accordance with the Rulebook. For the opening of the above share and account, ATHEXCSD registers the following information:

- a) The details or distinctive features attributed by ATHEXCSD to the relevant Share and Transitory Account for their identification in the DSS
- b) Any particular information regarding the type of the corresponding Link based on which the relevant information is recorded.

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

1. In addition to the data of paragraphs I to XXII, when opening the Share and the Securities Account, ATHEXCSD, based on the applications of the Participants or on its own initiative where the relevant provisions can be applied, registers the following indications:

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- a) Indication of any specific tax treatment declared by the Participant
  - b) Indications of general and specific categories in which the Share is included for statistical purposes, as determined in accordance with provisions in force, specified by ATHEXCSD and are completed by the Participant, and
  - c) Indication of any other specific categories in which the Share is included, which are determined and specified by ATHEXCSD.
2. When opening the Share and the Securities Account, ATHEXCSD, based on the request of the Participating for the opening, registers as well trading code data that may be linked to the Securities Account for the needs of settlement of transactions carried out using the relevant trading code.

#### **XXIV. Deletion of inactive Securities Accounts (Article 9.1 (2) of Part 9 of Section III of the Rulebook)**

Securities Accounts are automatically deleted in the DSS:

- a) Five (5) years from the date of the last recording in the relevant Securities Account and if the balance of the Securities Account is zero and there is no active link with a Joint Investment Share, Co-owner Share or Provisional Intermediary Settlement Account.
- b) Three (3) years from the date of the deactivation of the Link in the relevant Participant Securities Account and if 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.

Shares that are deactivated in accordance with the above cases may be reactivated after a relevant application submitted by the Participant.

Also, the account is deactivated if the above conditions are met as described in paragraph 1(a) and at the request of the Participant or the beneficiary submitted to ATHEXCSD.

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### **XXV. 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 indication (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 co-beneficiaries (i.e. with the same individual Client Share per co-beneficiary) and the same indication 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.
6. Deceased's shares where deactivation of Participant Accounts and their codes for transactions in derivatives on ATHEX markets is pending.

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7. Client Shares with GR indication 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.

Regarding Deceased's Shares with movements for the transfer of securities after the date of death, ATHEXCSD carries out the above automated technical checks in a monthly basis.

ATHEXCSD shall communicate the results of the above checks to the relevant Participants so that they make the relevant corrections/arrangements within a period of four (4) months from the date of notification. The Participants shall inform ATHEXCSD of the completion of the corrections in the Shares at the expiry of the above deadline.

### **XXVI. 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 of minors, the above TIN check does not apply and instead of the TIN, the indication '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 indication.

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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 decision 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.
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.

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**II. Annex: DATA KEPT IN ACCOUNTS PER SHARE TYPE**

<b>Account data kept</b>					
<b>Mandatory (M) / Optional (O) / Non-Accessible Field (N/AF)</b>					
<b>Share Type</b>		<b>(1)</b>	<b>(2)</b>	<b>(5)</b>	<b>(3)</b>
<b>Field description</b>	<b>Prices</b>	<b>Natural Person-Client</b>	<b>Client or Clients Legal person</b>	<b>Joint Investor Share-Client</b>	<b>Co-Owners Share-Client</b>
Name or company name	A(200)	M	M	M	M
Name	A(30)	M	N/AF	N/AF	N/AF
Father's Name	A(15)	M	N/AF	N/AF	N/AF
Investor Abbreviation	A15	N/AF	O	O	O
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 IDENTIFICATION 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 2-Legal 3-Co-Owners 4 - Issuer 5-JIS	M	M	M	M

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Share Category	<p>A1                      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                      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

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Type of identification certificate	A(1) 1 = ID CARD 2 = Passport 3 = Company Register Number 4 = REGISTRATION NO WITH THE GCR 9 = Other	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 permanent identification certificate	A (1) Natural Person (NP) 1 = Soc.Sec.Number 4 = Personal Id O (Latin) = Other  Legal Person (LP) 2 = LEI 3 = BIC O (Latin) = Other  Not to be completed in JIS and Co-Owners Shares	M	M	N/AF	N/AF
Unique code (identifier) of a permanent 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>					



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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
Postal Code on PO Box	A(10)	O	O	O	O
PO Box No	A(10)	O	O	O	O
Client Code (Electronic Transaction Automated System)	A(12)	M	M	M	M
Indication of Investor Participation in a 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

Data of Co-Owners and Co-beneficiaries			
Field		Joint Investor Share-Client	Co-Owners Share-Client
Co-Beneficiary/Co-Owner Investor Share Code	A(10)	M	M

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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
Inheritance term applied to Joint Shares	A(1) Y = (Latin, Yes) Yes N = (Latin, No) No. Implementation of the term that in the event of death of one of the co-beneficiaries, the securities are automatically transferred to the others in accordance with paragraph 1 of Article 2 of Law 5638/1932. Field to be completed only in Joint Shares.	M	N/AF

**III. Annex: INDICATIONS OF GENERAL AND SPECIAL STATISTICAL CATEGORY OF INVESTOR SHARES IN THE DEMATERIALIZED 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_121	Central Bank	10001 (*)	Central Bank
2	S_122	Credit Institutions and Multilateral Development Banks	10002	Commercial banks
			10003	Cooperative Banks

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

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			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>
4	S_123	Market Mutual Funds	15001	Mutual Funds
			15002	Undertakings for Collective Investment in Transferable Securities (UCITS)
15003	Public Collective Investment Organizations			

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			15099	<b>Other cases S_123</b>
5	<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>
6	<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)
7	<b>S_1314</b>	<b>Social Security Institutions</b>	21120	Insurance Funds

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			21999	<b>Other Cases S_1314</b>
8	S_124	<b>Portfolio investment companies, Real estate investment companies, Other (minus money market) mutual funds</b>	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>

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9	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>			
10	S_129	Professional private	22300 (*)	Professional private insurance funds

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		<b>insurance funds</b>		
11	<b>S_11</b>	<b>Non-financial undertakings</b>	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>
12	<b>S_14</b>	<b>Private individuals, self-employed, farmers and sole proprietors</b>	22511	Natural Persons
			22512	Sole Proprietors



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			22513	Joint Investor Share (JIS) or Co-Owners Share
			22599	<b>Other Cases S_14</b>
13	<b>S_15</b>	<b>Private non-profit institutions</b>	22601	Trade Unions
			22602	Private Charities, Church
			22603	Associations
			22699	<b>Other Cases S_15</b>
14	<b>S_22</b>	<b>International organization</b>	22700 (*)	International Organizations outside the European Union

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		<b>s outside the EU</b>		
15	<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 subsection, the Operator is not required to register a special statistical category.			