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RESOLUTION No. 3

“Terms of use of IT systems & procedures for granting access to Clearing Members”

Codified into a single text to include the decisions of the Board of Directors dated 17.11.2014 and 31.01.2022.

THE BOARD OF DIRECTORS OF ATHENS EXCHANGE CLEARING HOUSE S.A. (ATHEXCLEAR)

(Meeting 43/28-6-2010)

Having regard to the provisions of § 2.5, Section I and §§ 2.4.7 and 5.9.4, Section II of the Rulebook for Clearing Transactions in Book-Entry Securities (henceforth “Securities Rulebook”) and the provisions of par. 2, article 8 of the Rulebook for Clearing Derivatives Transactions (henceforth “Derivatives Rulebook”).

HEREBY RESOLVES AS FOLLOWS

1. Definitions

1.1. 'System'

1.1.1. The Securities Clearing System or the Derivatives Clearing System as defined in the Securities Rulebook and Derivatives Rulebook respectively, which are designated herein as material and technical infrastructure for the electronic connection of Clearing Members with the clearing procedures of ATHEXClear.¹

1.2. Clearing Members

1.2.1. The Direct Clearing Members and the General Clearing Members as defined in the Securities Rulebook and Derivatives Rulebook respectively.

1.2.2. Connection to the Securities Clearing System or Derivatives Clearing System allows for alternative connection to the Clearing System via:

1. Athens Exchange Transactions Network (ATHEX-Net)
2. Intranet infrastructure of the Clearing Member
3. Internet²

1.3. Athens Exchange Transactions Network

1.3.1. The Athens Exchange Transactions Network (ATHEX-Net) is the network for the connection and communication of Clearing Members, as well other participants in the ATHEX Market, with the System.

1.3.2. ATHEX-Net, developed and managed by ATHEX, is made up of its central hubs and their necessary technical equipment, which enable their operation and communication with them, as well as user nodes (Members, Clearing Members, etc.) with their necessary technical equipment for their operation and communication with the central hubs of the network.

1.3.3. The technical management of ATHEX-Net is the responsibility of ATHEX.

- 1.3.3.1. Access to the Clearing System via ATHEX-Net requires:

- a) provision and configuration of a node. The node is provided by the Clearing Member, on the basis of appropriate specifications;
- b) provision of telecommunication circuits by the Clearing Member (main site and disaster recovery site), on the basis of appropriate specifications;
- c) installation of Clearing System software in the above terminals.³

1.4. Intranet infrastructure of the Clearing Member

1.4.1. This relates to the user connection to the Clearing System via the Intranet network of the Clearing Member with configuration of the node of the Clearing Member and the provision of One Time Access Codes.

1.5. Internet

1.5.1. This relates to the user connection via the Internet with mandatory issue and use of a security certificate and the provision of One Time Access Codes.

1.6.⁴ Server connecting (DSS-API via ATHEX Gateway) a Member's intranet to the Clearing System

1.6.1. The ATHEX Gateway connectivity functionality allows a Clearing Member's applications to connect with the Clearing System via the DSS-API Server and ATHEX-Net.

1.7. Operating system / Applications

1.7.1. The Operating system is the entirety of computer programmes (software) which enable it to function as such.

1.7.2. Applications are those computer programmes (software) which enable the computer to perform a specific task for the purposes of its user.

1.8. DSS-API service

1.8.1. The DSS-API service is provided via ATHEX Gateway by ATHEXClear to those Clearing Members to which it has granted access from their own terminal equipment – through third-party applications – to the processes and functions of the System.⁵

1.8.2. The service consists in the installation of an Application Programming Interface (API) which allows Clearing Members to effectively use third-party applications to access the System.

1.9. Access codes⁶

1.9.1. After acquiring and installing the necessary IT infrastructure and acquiring the necessary software, the Clearing Member or ATHEX Market Member must submit to the competent body of ATHEXClear an application/applications in order for its user/users to gain the right of access to the Clearing System.

1.9.2. ATHEXClear, by means of a standard application form, in accordance with its procedures, issues and provides to users the initial access codes which grant the right of access to the Clearing System. The term 'access codes' means the way in which users are authenticated for their access to the Clearing System, as specified from time to time by ATHEXClear.

1.9.3. An access code will be granted only to users holding a Clearing Certificate (Securities Clearing Certificate or Derivatives Clearing Certificate), as applicable, in accordance with the relevant procedures of ATHEXClear.

1.9.4. If for any reason a user ceases to be employed at the Clearing Member or ATHEX Market Member, the Clearing Member must immediately notify ATHEXClear in writing so that the respective User code can be deactivated.

2. Entry into force

1. This resolution shall enter force as of the date of commencement of ATHEXClear's operation as a System Operator.

2. This resolution shall be posted on the Company's website.

¹ The last subparagraph of article 1.1 was deleted as above by virtue of decision 215/31.01.2022 of the Board of Directors with effect as of 01.02.2022.

² Paragraph 1.2.2 of article 1.2 was replaced as above by virtue of decision 215/31.01.2022 of the Board of Directors with effect as of 01.02.2022.

³ A new paragraph 1.3.3.1 was added to article 1.3 as above by virtue of decision 215/31.01.2022 of the Board of Directors with effect as of 01.02.2022.

⁴ Paragraph 1.4 was replaced as above by virtue of decision 109/17.11.2014 of the Board of Directors with effect as of 1.12.2014.

⁵ Paragraph 1.8.1 was replaced as above by virtue of decision 109/17.11.2014 of the Board of Directors with effect as of 1.12.2014.

⁶ A new paragraph 1.9 was added as above by virtue of decision 215/31.01.2022 of the Board of Directors with effect as of 01.02.2022.