

# AXIA Shareholders Identification

## Technical Instructions for Participants/Intermediaries

### Introduction

ATHEXCSD, as Issuer Agent, transmits, on behalf of the Issuer, to the Participants or selected Intermediaries in the intermediary chain a shareholder identification (SI request) in a standardized format, in accordance with the [Shareholders Rights Directive II \(SRD II\) regulatory framework](#).

ATHEXCSD then compiles the responses of the Participants and the Intermediaries of the chain with the identification data of the shareholders with securities held in an omnibus Securities Account, in accordance with their books and records, carries out the necessary reconciliation and, in the event of errors, informs the Participants/Intermediaries in order for them to take corrective actions in due time.

On the next business day after the expiry of the Issuer's deadline for the SI request, ATHEXCSD shall send the Issuer a file with the fully identified shareholders.

### Technical instructions

In order to facilitate the Participants/Intermediaries of the Intermediaries chain in the timely submission of responses to the Issuer's shareholder identification request, the following are highlighted:

#### 1. Acceptable file/message formats for transmitting shareholder identification information

For the transmission of a shareholder identification request from ATHEXCSD to Participants/Intermediaries, as well as for the response to a shareholder identification request from Participants/Intermediaries to ATHEXCSD as an Issuer Agent, the acceptable **file/message formats** are in accordance with the standards **ISO 20022** and are as follows:

- seev.045 "Shareholder identification request"
- seev.047 "Response to request for shareholder identification"
- seev.048 "Cancel reply to a shareholder identification request"
- seev.049 "Status of reply to shareholder identification request"

For more information on the **accepted formats of ISO20022 files/messages** you can find the relevant **technical manual** [HERE](#).

In case of errors in the response file to a shareholders identification request, ATHEXCSD sends to the relevant Participant/Intermediary **the message "Response status to a shareholders identification request" (seev.049)** with the relevant error codes. The table of error codes transmitted by ATHEXCSD can be found [HERE](#)

#### 2. Acceptable ways for Participants/Intermediaries to transmit shareholder identification request response files:

- a. Through SWIFT FINplus

**Prerequisite:** Key exchange with ATHEXCSD upon a "RMA request" from a Participant or Intermediary, using the following ATHEXCSD details:

- BIC: HCSDGRAAXX
- DN on SWIFT FINplus: ou=xxx,o=hcsdgraa,o=swift

**b. Through AXIA e-Shareholders Meeting platform of ATHEXCSD**

Refers to the transmission from Participants/Intermediaries of the files "Response to Shareholder Identification Request" (seev.047) & "Cancellation of response to shareholder identification request" (seev.048) as follows:

- in xml format via the "Intermediaries Actions" screen or
- in CSV format (see [HERE](#) for a relevant sample file at UTF8 comma delimited format) or
- by direct data entry of the shareholder identification information via the "SI RESPONSE FORM" screen.

**Prerequisite:** Use of passwords to the AXIA e-Shareholders Meeting platform by a Participant or Intermediary.

- **Procedure for issuing passwords:** Submission to ATHEXCSD of the relevant **application form** by a Participant or Intermediary, which can be found [HERE](#) and issuance of passwords according to the relevant **instructions**, which can be found [HERE](#)
- **Technical instructions** for using the platform can be found [HERE](#)
- **Frequently asked questions and answers** about the identification service can be found [HERE](#)

## Fees of Participants/Intermediaries

In case a Participant/Intermediary has included in its policy the imposition of fees for sending data in the context of a shareholders identification request, it is required:

- Inform the issuer or ATHEXCSD prior to sending the data of the impending charge so that the issuer has the option to choose whether or not to accept the charge.
- If the issuer accepts the charge and the identification information is sent by the acceptance deadline, the relevant accounting document will be issued in the name of the issuer.

## Contact Information

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