

APPLICATION FOR A LEGAL ENTITY IDENTIFIER CODE –TRANSFER/PORTING

To: **Central Securities Depository/Registry, of the Cyprus Stock Exchange (CSE)**

ΠΑΡΑΡΤΗΜΑ 3

With this application we authorize CSE, as Authorised Registrant, to proceed with all the necessary actions in order for the LEI, assigned to us, to be transferred to the London Stock Exchange, as the LOU, for on-going maintenance

To be completed by the CSE

Date _____

Time received _____

Received by _____

Applicant's Data

Information with asterisk () is not mandatory – If available strongly requested to be submitted*

Legal Entity Name

IN GREEK

Alternative Name *

Anglicised Name

Legal Form Country

Legal Form

Headquarters Address

City

Zip

Country

Legal Formation Address 1

City

Zip

Country

Legal Entity Website*

BIC *

ISIN *

Registration

Number

Country of Business Registry

Official Business Registry

LEI code number of the Applicant

Name of the Current LOU

LEI of the sending LOU

LEI of the receiving LOU-(LSE)

213800D1EI4B9WTWWD28

Applicant's Email

Tax Country

Number

Attached Documents

- Legal representation document ☐

(more information see Fill-in instructions)

- A certificate of incorporation or official document relevant to the entity such a prospectus for funds, trust deed for trusts etc ☐

- Bank Payment Slip ☐

Initial _____

Parent Company Information: Please complete 1 of the 3 forms for Parent Company Information.

(1). If your company has a Direct and Ultimate Parent Company please complete the details below:

| Field | Direct Parent Company | Ultimate Parent Cpmpany |
|---|---|---|
| Description of Relationship Type | DIRECTLY CONSOLIDATED_BY The Direct Parent entity is the closest fully consolidating parent to the LEI entity in any applicable hierarchical ownership structure | ULTIMATLEY CONSOLIDATED The Ultimate Parent entity is the most distant fully consolidating parent from the LEI entity in any applicable hierarchical ownership structure. |
| Parent Name | | |
| HQ address | Headquarters address of Direct Parent Company Address line1: Town or City: Region: Country: Postcode: | Headquarters address of Ultimate Parent Company Address line1: Town or City: Region: Country: Postcode: |
| Legal Address | Legal/registered address of Direct Parent Company Address line1: Town or City: Region: Country: Postcode: | Legal/registered address of Ultimate Parent Company Address line1: Town or City: Region: Country: Postcode: |
| Registration Authority | Business Registry of Direct Parent Company | Business Registry of Ultimate Parent Company |
| Registry Entity Id | Business Registry Number of Direct Parent Company | Business Registry Number of Ultimate Parent Company |
| Validation Documents | Tick the appropriate document that confirms the group structure <input type="checkbox"/> ACCOUNTS_FILING <input type="checkbox"/> CONTRACTS <input type="checkbox"/> OTHER_OFFICIAL_DOCUMNETS <input type="checkbox"/> REGULATORY_FILING <input type="checkbox"/> SUPPORTING_DOCUMENTS | Tick the appropriate document that confirms the group structure <input type="checkbox"/> ACCOUNTS_FILING <input type="checkbox"/> CONTRACTS <input type="checkbox"/> OTHER_OFFICIAL_DOCUMNETS <input type="checkbox"/> REGULATORY_FILING <input type="checkbox"/> SUPPORTING_DOCUMENTS |
| Upload Validation Document Confirming Group Structure | <i>Upload document confirming relationship between Parent and LEI entity</i> <i>Attach document such as financial statement, regulatory filing, org chart of 50%+ ownership, group structure</i> | <i>Upload document confirming relationship between Parent and LEI entity</i> <i>Attach document such as financial statement, regulatory filing, org chart of 50%+ ownership, group structure</i> |
| Accounting Consolidating Standard (Qualifier Category) | Tick the appropriate accounting standard of the group structure <input type="checkbox"/> OTHER_ACCOUNTING_STANDARD <input type="checkbox"/> IFRS (International Financial Reporting Standard) <input type="checkbox"/> US_GAAP (United States-Generally Accepted Accounting Principles) | Tick the appropriate accounting standard of the group structure <input type="checkbox"/> OTHER_ACCOUNTING_STANDARD <input type="checkbox"/> IFRS (International Financial Reporting Standard) <input type="checkbox"/> US_GAAP (United States-Generally Accepted Accounting Principles) |

Initial_____

(2). If your company does not have a Direct or Ultimate Parent Company please select the reason why:

| Field | Direct Parent Company | Ultimate Parent Company |
|-------------------|---|---|
| Parent | (N/A) If the LEI entity has no Parent company | (N/A) If the LEI entity has no Parent company |
| Exception Reasons | <p>Select the reason explaining why the LEI entity has no Parent company:</p> <p><input type="checkbox"/> <i>NATURAL_PERSONS: (The parent entity is a natural person)</i></p> <p><input type="checkbox"/> <i>NO_KNOWN_PERSON: (There is no parent entity to control the entity e.g. Joint venture, diversified shareholding)</i></p> <p><input type="checkbox"/> <i>NON_CONSOLIDATING: (There is no parent according to the consolidated financial statements.)</i></p> | <p>Select the reason explaining why the LEI entity has no Parent company:</p> <p><input type="checkbox"/> <i>NATURAL_PERSONS: (The parent entity is a natural person)</i></p> <p><input type="checkbox"/> <i>NO_KNOWN_PERSON: (There is no parent entity to control the entity e.g. Joint venture, diversified shareholding)</i></p> <p><input type="checkbox"/> <i>NON_CONSOLIDATING: (There is no parent according to the consolidated financial statements.)</i></p> |

(3). If your company cannot disclose the Direct or Ultimate Parent Company please select the reason why:

| Field | Direct Parent Company | Ultimate Parent Company |
|-------------------|--|--|
| Parent | (N/A) If there is a legal reason the Parent company information cannot be provided | (N/A) If there is a legal reason the Parent company information cannot be provided |
| Exception Reasons | <p>Select the reason explaining why the LEI entity cannot disclose the Parent company:</p> <p><input type="checkbox"/> <i>LEGAL_OBSTACLES (Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information.)</i></p> <p><input type="checkbox"/> <i>CONSENT_NOT_OBTAINED (The consent of the parent was necessary under the applicable legal framework and the parent did not consent or could not be contacted.)</i></p> <p><input type="checkbox"/> <i>BINDING_LEGAL_COMMITMENTS (Binding legal commitments (other than the laws or regulations of a jurisdiction), such as articles governing the legal entity or a contract, prevent providing or publishing this information.)</i></p> <p><input type="checkbox"/> <i>DETRIMENT_NOT_EXCLUDED (The child entity has sought to consult the parent entity about the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework. The disclosure of this information would be detrimental to the legal entity or the relevant parent.)</i></p> <p><input type="checkbox"/> <i>DISCLOSURE_DETRIMENTAL (The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.)</i></p> | <p>Select the reason explaining why the LEI entity cannot disclose the Parent company:</p> <p><input type="checkbox"/> <i>LEGAL_OBSTACLES (Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information.)</i></p> <p><input type="checkbox"/> <i>CONSENT_NOT_OBTAINED (The consent of the parent was necessary under the applicable legal framework and the parent did not consent or could not be contacted.)</i></p> <p><input type="checkbox"/> <i>BINDING_LEGAL_COMMITMENTS (Binding legal commitments (other than the laws or regulations of a jurisdiction), such as articles governing the legal entity or a contract, prevent providing or publishing this information.)</i></p> <p><input type="checkbox"/> <i>DETRIMENT_NOT_EXCLUDED (The child entity has sought to consult the parent entity about the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework. The disclosure of this information would be detrimental to the legal entity or the relevant parent.)</i></p> <p><input type="checkbox"/> <i>DISCLOSURE_DETRIMENTAL (The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.)</i></p> |

Initial_____

The undersigned legal representative(s) of applicant responsibly declare the following:

1. All the submitted data and documents attached to this Application are genuine, full and accurate.
2. **With this application we authorize Cyprus Stock Exchange, as Authorized Registrant to proceed with all the necessary actions** in order to facilitate the LEI transfer process.
3. **The submission of this Application is considered as an irrevocable authorization to the Cyprus Stock Exchange to carry out, in our name and on our behalf, all necessary and lawful actions for the renewal of the LEI Code assigned to us.**
4. We undertake to notify the CSE our updated identification data immediately after any change and on an annual basis from the submission of this Application.
5. Documents submitted in any other language other than Greek or English must be translated by the competent authority in Cyprus.
6. If the Legal Entity has Registration Status of **LAPSED** we committed to renewing the LEI code by submitting the relevant form.

Applicant's Signature: _____ ID/Passport: _____

Full Name of the Applicant: _____ Date: _____

Position within Organisation _____

Company Stamp: _____

(For use by the Stock Exchange)

Checked: By _____ Signature _____

Entered on: Date _____ Time _____ By _____ Signature _____

File Reference: _____ By _____

Entry checked on: By _____ Signature _____

CSE fees _____

Initial _____

FILL-IN INSTRUCTIONS

Please find below instructions regarding the mandatory fields for the completion of the form.

1. **Anglicised Name** = The name of the legal entity in English
2. **Legal Form Country** = The country that the legal entity is incorporated
3. **Legal Form** = The type of the legal entity (e.g Limited, Partnership, Provident Fund etc).
4. **Headquarters Address** = The actual headquarter address or the place of business (in many instances the legal formation address and headquarter address are the same).
5. **Legal Formation Address 1** = The current entity details (in many instances the legal formation address and headquarter address are the same).
6. **Country of Business Registry** = The country which the legal entity maintains its registry at present.
7. **Official Business Registry** = The competent authority which the legal entity is registered.
8. **Applicant's Email** = email address of the applicant.
9. **Parent Company Information** = You need to complete 1 of the 3 options. Please referred to the section "Terminology Explained".
10. All the pages must have the initial of the authorized person that signed the form. The person who is authorised to sign the form must be someone according with the legal document that will be submitted with the form.
11. Attached with the form you need to submit the following :
 - Original recently issued Certificate of the Directors issued by a Competent Authority (within one month from the date of issue). Please note that if the Director of the applicant is another Legal Person, you need to submit the legal representation documents, recently issued (up to one month) and in original form until a physical person is identified as the legal representative of the applicant. Also you need to submit confirmation letter regarding the registration number of the legal entity who is acting as director of the Applicant. Please note that the CSE may ask to submit a confirmation letter regarding that the authority that issued the certificate of directors is the responsible authority to issue such documents according to the legal framework that is applicable to the country that the legal entity is registered.
 - Certificate of Incorporation.
 - Copy of the signatory's ID/passport.
12. To speed up the process and prevent errors, we recommend to submit, duly completed with the relevant documents (scanned), by e-mail info@cse.com.cy or by fax 22570308 so that the CSE checks them before they are sent to original format.
13. You need to pay the following fees and send scanned copy of the bank payment slip attached with the form:
 - For the issuance of the LEI code = €138
 - For the submission of the legal documents (€10 for Cypriot legal entities and €15 for foreign legal entities).
 - For the renewal of the LEI code = €84 (once a year)

Always indicate that the payment is regarding the issuance of LEI code. The CSE Bank Account:

IBAN: CY83-0020-0120-0000-0005-0203-3400
BANK: Bank of Cyprus Public Company Ltd
BIC CODE: BCYPCY2N
14. Please note that documents submitted with the application in any language other than Greek or English must be translated by the Competent Authority in Cyprus.

Initial _____

Terminology Explained:

Relationship Type

IS_DIRECTLY_CONSOLIDATED_BY

The child entity directly consolidated by the parent entity: the "child" entity has its accounts fully consolidated by the "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the parent entity is the closest fully consolidating parent to the child entity in any applicable hierarchical ownership structure.

IS_ULTIMATELY_CONSOLIDATED_BY

The child entity is ultimately consolidated by the parent entity. The "child" entity has its accounts fully consolidated by the "parent" entity, in the sense given by the accounting standard(s) specified in RelationshipQualifiers; the parent entity is the most distant fully consolidating parent from the child entity in any applicable hierarchical ownership structure.

IS_INTERNATIONAL_BRANCH_OF

The child entity is an international branch of the legal entity designated by parent entity (in jurisdiction country of child entity). The Parent entity is the Head Office and MUST be an LEI.

Qualifier Category

US_GAAP

United States-Generally Accepted Accounting Principles.

IFRS

International Financial Reporting Standard (developed by the International Accounting Standards Board – IASB see <http://www.ifrs.org>).

OTHER_ACCOUNTING_STANDARD

A financial reporting (accounting) standard not otherwise listed in the latest version of the relationship data file format.

Validation Documents

ACCOUNTS_FILING

A consolidated financial (accounting) statement, prepared and submitted to the relevant authority.

REGULATORY_FILING

An annual regulatory filing providing public information on parent relationships.

SUPPORTING_DOCUMENTS

Other documents supporting the preparation of consolidated financial statements.

CONTRACTS

Contract(s) attesting to the validity of the relationship.

OTHER_OFFICIAL_DOCUMENTS

Other official document(s) attesting to the validity of the relationship.

Exception Reason

If a Parent entity does not exist:

NATURAL_PERSONS

The parent entity is a natural person; There is no parent according to the definition used, because the entity is controlled by natural person(s) without any intermediate legal entity meeting the definition of accounting consolidating parent.

NO_KNOWN_PERSON

There is no parent entity to control the entity (e.g. Joint venture, diversified shareholding); There is no parent according to the definition used, because the entity is controlled by legal entities not subject to preparing consolidated financial statements.

NON_CONSOLIDATING

There is no parent according to the consolidated financial statements; There is no parent according to the definition used, because there is no known person controlling the entity (e.g., diversified shareholding).

If a Parent entity exists but cannot be disclosed:

LEGAL_OBSTACLES

Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information. This does not include cases where, under the applicable legal framework disclosing the parent relationship would require the consent of one of the entities in the relationship, or both, and such consent could not be obtained (in these cases "CONSENT_NOT_OBTAINED" is the applicable code). The LOU is not expected to verify or analyse whether the legal framework constitutes a legal obstacle.

CONSENT_NOT_OBTAINED

Obstacles in the laws or regulations of a jurisdiction prevent providing or publishing this information: "the consent of the parent was necessary under the applicable legal framework and the parent did not consent or could not be contacted". Note that it is a responsibility of a child entity to seek parent consent when necessary for disclosing the parent relationship, for instance by inviting in writing the parent entity to provide consent. The LOU is not expected to verify or analyse whether the legal framework constitutes a legal obstacle.

BINDING_LEGAL_COMMITMENTS

Binding legal commitments (other than the laws or regulations of a jurisdiction), such as articles governing the legal entity or a contract, prevent providing or publishing this information. The LOU is not expected to verify or analyse whether the legal framework constitutes a legal obstacle.

Initial_____

DETRIMENT_NOT_EXCLUDED

The child entity has sought to consult the parent entity about the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework. The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity. This reason may be used only when all following cumulative circumstances apply: [i) the parent could not be informed via the GLEIS and have the possibility to correct the relationship information before publication (including raising a cause for opt out, either because the parent does not have an LEI, or it has an LEI but the GLEIS has not yet implemented such system;] ii) the relationship is not already in the public domain (information being in the public domain assumes here that the way the information came into the public domain did not infringe the applicable legal framework); iii) the child entity has reasons to believe that the parent may consider disclosure to be detrimental; (iv) the child entity has sought to consult the parent entity of the reporting of the parent information to the GLEIS but could not confirm the absence of detriment in a way that can appropriately prevent liability risks for the child entity (or those acting on its behalf) under the applicable legal framework.

DISCLOSURE_DETRIMENTAL

The disclosure of this information would be detrimental to the legal entity or the relevant parent. This will include reasons generally accepted by public authorities in similar circumstances, based on a declaration by the entity.