

TO : Members of the Cyprus Stock Exchange
FROM : Acting General Manager of the Cyprus Stock Exchange
RE : **Obligations of CSE Members**
DATE : 14 December 2020
CIRCULAR NO.: 20-2020

Dear Sirs,

In order to ensure compliance with their obligations, all CSE Members are requested to send the attached Appendix, duly completed and signed, setting out in detail the Directors, certified Stockbroker Representatives, Assistant Stockbroker Representatives and Clearing Officers who continue to be employed by the Member, as well as other Member information. The Appendix must be completed and sent to the CSE by Monday **11 January 2021** at the latest (CSE fax No. 0035722570308, or to info@cse.com.cy). This is necessary in order to fully update the CSE records for purposes of providing better service to CSE Members.

We wish to remind you that in the attached Appendix it is necessary to complete, amongst others, the Legal Entity Identifier (LEI) code, the mobile phone No. of the Certified Stockbroker Representative for direct contact, as well as his/her personal email address for direct contact and for purposes of sending codes. You must also state whether you are using the services of Direct Electronic Access and Algorithmic Trading. We would also like to remind you that further to the amendments to the Regulatory Decision on the Registration of Members (RAA 346/2020), the CSE will carry out an annual review of the Members towards the end of June. You will therefore be requested to complete and send a specific questionnaire as well as other supporting evidence and financial information based on your company's most recent annual audited financial statements.

For any additional information or explanations, you may contact the competent Officers, Mr. Michalis Michael or Mrs. Maria Solomou at 22712300.

Thank you for your collaboration.

Yours,

Nicos Trypatsas
Acting General Manager

Cc: Cyprus Securities and Exchange Commission

Enclosures

APPENDIX

MEMBER INFORMATION

Complete the Appendix preferably electronically, sign and send it to the CSE, Fax No. 0035722570308 or email: info@cse.com.cy

NAME OF MEMBER				
LEI CODE				

ADDRESS		TELEPHONE	FAX	EMAIL
POSTAL CODE				
CITY-COUNTRY				

BOARD OF DIRECTORS	FULL NAME	TELEPHONE	FAX	EMAIL
CHAIRMAN				
VICE-CHAIRMAN				
MEMBERS OF THE BOARD				

GENERAL MANAGER	FULL NAME	TELEPHONE	FAX	EMAIL

STOCKBROKER REPRESENTATIVES	FULL NAME	MOBILE TELEPHONE	FAX	EMAIL
(Active and Certified by the CSE)				

ASSISTANT STOCKBROKER REPRESENTATIVES	FULL NAME	TELEPHONE	FAX	EMAIL
(Active and Certified by the CSE)				

APPENDIX

CLEARING OFFICERS (Active and Certified by the CSE)	FULL NAME	TELEPHONE	FAX	EMAIL

TECHNICAL OFFICER	FULL NAME	TELEPHONE	FAX	EMAIL

INTERNAL AUDITOR	FULL NAME	TELEPHONE	FAX	EMAIL

SHAREHOLDERS (NATURAL OR LEGAL PERSONS) DIRECTLY OR INDIRECTLY HOLDING MORE THAN 10% OF THE COMPANY'S SHARE CAPITAL OR VOTING RIGHTS	FULL NAME/COMPANY	ID NO./REG.NO	ADDRESS	PERCENTAGE IN SHARE CAPITAL

STATE IF YOU ARE USING THE SERVICES OF	YES	NO
DIRECT ONLINE ACCESS		
ALGORITHM TRANSACTIONS		

FULL NAME OF MEMBER'S GENERAL MANAGER	
SIGNATURE	
SEAL	

DATE	
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«Personal data collected or sent by the CSE upon submission of this request are processed for carrying out the transaction / operation / action / service requested, fulfilling the duties of the CSE in the exercise of public authority and / or in the public interest and for compliance with legal obligations».