

APPLICATION FORM FOR EXEMPTION FROM THE PARTICIPATION REQUIREMENT IN THE SUITABILITY CERTIFICATION EXAMS

*please attach
photo in color*

To
the Hellenic Capital Market Commission (Public Law Legal Entity)
3-5 Ippokratous Str.,
10679 Athens

Candidate's Personal Details

(Please complete the form in capital letters)

Application form

Surname:

First name:

Father's Name:

Mother's Name and Surname:

.....

Date of birth:.....

Place of birth:.....

Identification Card Number: :.....

Issuance date of Identification Card:

.....

Husband's Name and Surname:

.....

Postal address:

.....

.....

E-mail address:

Telephone number:

Suitability Certificate:

Year of obtaining the certificate:

Please do accept this application for exemption from the participation requirement in the exams in order to obtain the suitability certificate.

(mark a clear X next to the corresponding certificate):

α1) Reception, transmission and execution in transferable securities

(α2) Reception, transmission and execution in derivatives

(β1) Investment advice in transferable securities

(β) Investment advice

(γ) Investment portfolio management of clients

(δ) Analysis on financial instruments or issuers.

(ε) Distribution of units or shares of UCITS or other collective investment undertakings

(στ1) Clearing of transactions in transferable securities

(στ2) Clearing of transactions in derivatives

PERSONAL INFORMATION

EDUCATION: Please state the most recent degree and provide information for each degree obtained by the candidate (please provide the name of the University/Institution and the Department that issued each degree as well as the date issued).

- (1)
 (2)
 (3)

PROFESSIONAL EXPERIENCE: Please state the most recent position and list information for each position held by the candidate (state the name of the employer, position held and duration of employment).

- (1)
 (2)
 (3)

The following supporting documents are attached:

- | | |
|----------|-----------|
| 1) | 6) |
| 2) | 7) |
| 3) | 8) |
| 4) | 9) |
| 5) | 10) |

(to be completed by the
HCMC)

(Fill in and sign the following statement)

Candidate's statement:

I hereby declare that the information and data provided in this application are true and accurate. In case of inaccuracy I am aware about the consequences as stipulated by the provisions of Law 1599/1986.

Signature: Date:

Company's statement:

The company declares that the information provided in this application is true and accurate. In case of inaccuracy the company is aware about the consequences as stipulated by the provisions of Law 1599/1986.
 Name and Surname of the Manager

.....
 (Signature and Company's Seal) Date:

Information about the General Data Protection Regulation (GDPR) for natural persons who are candidates for certification can be found in

http://www.hcmc.gr/aweb/files/announcements/files/Enhmerwsh_ypokeimenwn.pdf