



HELLENIC REPUBLIC

CAPITAL MARKET COMMISSION

INFORMATION ABOUT APPLICATIONS AND SUPPORTING DOCUMENTS REQUIRED TO PARTICIPATE IN SUITABILITY CERTIFICATION EXAMS

(article 19 of decision 18/809 / 21.2.2018 of the Board of Directors of the Hellenic Capital Market Commission "Certification of suitability of natural persons providing services under article 93 of law 4514/2018 (Government Gazette A '14 / 30.1.2018) »)

I. WHEN THE APPLICATION IS SUBMITTED COLLECTIVELY BY A COMPANY (article 1 of Decision 18/809/21.2.2018 of the Board of Directors of the Hellenic Capital Market Commission) on behalf of the persons working for the company or cooperating with it, the following documents shall be submitted:

1. [Application form for the participation in the exams of suitability certification](#) signed by the candidate himself or the company
2. **Company's attestation** to the Hellenic Capital Market Commission in accordance with Article 7(1) of decision 18/809/21.2.2018 of the Board of Directors of the Hellenic Capital Market Commission, serving as a solemn declaration under Law 1599/1986 that the company has checked the minimum personal reliability requirements of the certification candidates, who are employed by the company or cooperate with it. For this purpose, the company obtained a copy of the general-use criminal record and a solemn declaration by every candidate, with verification of the authenticity of his/her signature, concerning the non-initiation of disciplinary proceedings and the non-imposition of sanctions for any offence under Article 5(B) or a similar legal provision outside the territory of Greece.
3. **Company's attestation** to the Hellenic Capital Market Commission in accordance with article 10 (1) of decision 18/809/21.2.2018 of the Board of Decision of the Hellenic Capital Market Commission, serving as a solemn declaration under law 1599/86 that the

company has checked the formal qualifications of the certification candidates who are employed by the company or cooperate with it. For this purpose, the company keeps:

- a. A Certificate of professional experience from the employer or a certificate of cooperation, serving as a solemn declaration under Law 1599/1986 in which it is described in detail and with clarity the subject and duration of employment or cooperation of the candidate including the Employer Register Number
- b. An insurance agency certificate for the period of time for which the employment relationship of the candidate is verified by the company issued the professional experience certificate, or the employment sector in case of cooperation.
- c. a Detailed Curriculum Vitae and
- d. copies of qualifications in accordance with Article 1 of Law 4250/2014

4. **Receipt/Deposit for payment of the certification fee.** The certification fee amounting to 100 euros shall be payable to the account of the Hellenic Capital Market Commission at the Bank of Greece (IBAN: GR 59010 0024 0000000000 262154).

***Attention:** The candidates are kindly requested to pay attention to the following guidelines concerning the certificate fee:*

- a) a stamp payment of 2.4% is further required on the amount of 100 Euros.*
- b) It is required to indicate the candidate's name on proof of receipt, even if the amount is paid by the company whom the candidate is employed or cooperates with.*

The application form is considered complete and acceptable by the Hellenic Capital Commission only if it is fully and correctly completed, signed (by the company or the candidate) and is accompanied by all the required supporting documents, mentioned above. Once the deadline for submitting supporting documents has expired, the application form submitted will not be accepted regardless of the reason for non-timely submission.

The application form with the required supporting documents will be submitted to the Protocol of the Hellenic Capital Market Commission electronically at the address info@cmc.gov.gr or by postal mail to 1, Kolokotroni & Stadiou Str., 105 62 Athens, in order to receive an incoming correspondence protocol number.

II. WHEN THE APPLICATION IS SUBMITTED BY A NATURAL PERSON the following documents shall be submitted:

1. **Application form for the participation in the exams of suitability certification**, signed by the candidate
2. **Solemn declaration by the candidate** (under Article 8 of Law 1599/86) with verification of the authenticity of his signature concerning the non-initiation of disciplinary proceedings against him / her and the non-imposition of sanctions for any offence of capital market legislation.
3. **a Detailed Curriculum Vitae**
4. **copies of qualifications** in accordance with Article 1 of Law 4250/2014
5. **Proof of professional experience.** The candidate shall submit all of the following:
 - a. A Certificate of professional experience from the employer serving as solemn declaration (under Article 8 of Law 1599/86), setting out clearly and in detail the subject and duration of engagement including the Employer Registration Number.
or
Certificate of cooperation serving as solemn declaration (under Article 8 of Law 1599/86) serving as solemn declaration (under Article 8 of Law 1599/86) setting out clearly and in detail the subject and duration of cooperation between the candidate and the Company referred to in paragraph 4 of Article 7 of law 4099/2012.
 - b. An insurance agency certificate for the period of time for which the employment relationship of the candidate is verified by the company the professional experience certificate or the employment sector in case of cooperation.
6. **Receipt/Deposit of payment of the certification fee.** The certification fee amounting to 100 euros shall be payable to the account of the Hellenic Capital Market Commission at the Bank of Greece (IBAN: GR 59010 0024 0000000000 262154).

Attention: *The candidates are kindly request to pay attention to the following guidelines concerning the certificate fee:*

α), a stamp payment of 2.4% is further required on the amount of 100 Euros.

b) It is required to indicate the candidate's name on proof of receipt, even if the amount is paid by the company in which the candidate is employed or cooperates with.

The application form is considered complete and acceptable by the Hellenic Capital Commission only if it is fully and correctly completed, signed (by the company or the candidate) and is accompanied by all the required supporting documents, mentioned above.

Once the deadline for submitting supporting documents has expired, the application forms submitted will not be accepted regardless of the reason for non-timely submission.

The application form with the required supporting documents will be submitted to the Protocol of the Hellenic Capital Market Commission electronically at the address info@cmc.gov.gr or by postal mail to 1, Kolokotroni & Stadiou Str., 105 62 Athens, in order to receive an incoming correspondence protocol number.