



HELLENIC REPUBLIC  
CAPITAL MARKET COMMISSION

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**INFORMATION PROVIDED TO THE DATA SUBJECTS**

**(Articles 13 and 14 of the General Data Protection Regulation)**

**Information provided to natural persons who are candidates for certification of professional suitability for the provision of services according to Article 93 of Greek law 4514/2018 (Government Gazette A 14/30.1.2020).**

This notice applies to persons submitting personal data as part of their suitability and credibility assessment as,

-shareholders with qualifying holding, members of the board of directors and persons who effectively direct the activities of the Mutual Fund Management Companies. For the examination of an application for the acquisition or increase of qualifying holding in a Mutual Fund Management Company, in accordance with Articles 14 and 15 of Greek law 4099/2012, and Decision of HCMC 3/452/1.11.2007

-members of the Board of Directors and persons who effectively direct the activities of the Mutual Fund Management Companies in accordance with Article 16 of Greek law 4099/2012, and Decision of HCMC 4/452/1.11.2007

-shareholders with qualifying holding, members of the Board of Directors and persons who effectively direct the activities of the Alternative Investment Funds Managers (A.I.F.M.- Authorizes under AIFMD) For the examination of an application for the acquisition of qualifying holding in an Alternative Investment Funds Managers (A.I.F.M.) in accordance with point (d) of par. 1 of article 8 of Greek law 4209/2013

-members of the board of directors and the persons who effectively direct the activities of the Alternative Investment Funds Managers (A.I.F.M.) in accordance with point (c) of par. 1 of Article 8 of Greek law 4209/2013

-shareholders with special participation of the Real Estate Investment Companies (R.E.I.C.), according to par. 6 of article 21 of Greek law 2778/1999

-members of the board of directors and persons who effectively direct the activities of Real Estate Investment Companies (R.E.I.C.) in accordance with Article 21 of Greek law 2778/1999

-shareholders with qualifying holding of Portfolio Investment Companies in accordance with Article 28 par. 4 of Greek law 3371/2005

-members of the board of directors and the persons who effectively direct the activities of the Portfolio Investment Companies in accordance with par. 8 of Article 28 of Greek law 3371/2005

-members of the investment committee of the Occupational Insurance Fund, in accordance with par. 2(d) of Article 1, chapter D, of the decision no. F.51010/οικ.1893/15/16.01.2015 (Government Gazette B/178) of the Minister of Labor

### **Data Controller**

HELLENIC CAPITAL MARKET COMMISSION - LEGAL ENTITY, with registered office in Athens (Kolokotroni 1, Athens 105 62), tel. 210-33.77.100.

The Hellenic Capital Market Commission was established as a legal entity (Greek law 1969/1991) and was organized by Greek law 2324/1995 with its registered office at Kolokotroni 1 & Stadiou, Athens 105 62, aiming to ensure the protection of investors and the orderly operation of the Greek capital market, operates exclusively in the public interest, and in general processes personal data which is necessary for the performance of a task carried out in the public interest or in the exercise of an official authority vested in it as a data controller.

The Hellenic Capital Market Commission, as controller, collects, maintains and processes personal data for specified, explicit and legitimate purposes and such data shall not be further processed in a manner incompatible with those purposes.

The Hellenic Capital Market Commission does not process special categories of personal data.

In particular, the Hellenic Capital Market Commission, as the controller, collects, maintains and may process personal data and personal data relating to criminal prosecutions, security measures, criminal convictions (Article 10 GDPR), and administrative sanctions of the Board of Directors of the Hellenic Capital Market Commission.

This data is collected:

- mainly through the Supervised Entities, which submit data to the Hellenic Capital Market Commission for the assessment of the suitability and reliability of natural persons and/or
- directly from the abovementioned natural persons and/or
- through public authorities and/or
- through other supervisory authorities

### **Purpose of processing and categories of personal data**

The personal data collected, maintained and processed by the Hellenic Capital Market Commission as a controller in accordance with Articles 14, 15 and 16 of Greek law 4099/2012,

points (c) and (d) of par. 1 of Article 8 of Greek law 4209/2013, par. 6 of Article 21 of Greek law 2778/1999, article 28 par. 4 of Greek law 3371/2005, the decisions of the Board of Directors of HCMC 3/452/1.11.2007 and 4/452/1.11.2007, and the decision No. F.51010 οικ.1893/15/16.01.2015 (Government Gazette B/178) of the Minister of Labour, are used for

- used for the assessment of suitability,
- the general organizational adequacy of the Supervised Entities and
- the keeping of a register of the Supervised Entities.

The personal data are collected and processed lawfully for the achievement of the abovementioned specified, explicit and legitimate purposes.

The personal data subject to the abovementioned processing is data relating to qualifications, certificates of employment, letters of recommendation, curriculum vitae, receipts for the payment of assessment fees, tax information, non-bankruptcy certificate, disciplinary proceedings and sanctions for administrative offenses, identity data, and contact details.

In addition, in order to achieve the above purposes, the Hellenic Capital Market Commission collects personal data of applicants relating to criminal prosecutions, security measures and criminal convictions (Article 10 of the GDPR) on the basis of the applicable legislation.

In case of objection by the applicants to the processing of such data, it is not possible to assess their reliability and suitability and, therefore, their participation in the Supervised Entities as members of the management board, persons managing the operations or members of the investment committee of the Occupational Insurance Fund.

### **Recipients**

The Hellenic Capital Market Commission collects, maintains and processes personal data that it collects and does not trade personal data.

This data is not disclosed to other bodies, except to other national and foreign supervisory authorities, upon formal request, in particular in the context of an investigation.

### **Publishing on the website of the Hellenic Capital Market Commission**

For the purpose of informing the investors, the Hellenic Capital Market Commission publishes on its website the names and corporate contact details of the CEO and/or the contact person of the Supervised Entities.

### **Responsible authorized officers**

For personal data issues of natural persons who are candidates for suitability assessment as above, the requests are addressed to the Hellenic Capital Market Commission. The officials responsible for the suitability assessment are the Director of Capital Market Intermediaries Directorate and the Head of Licensing of Collective Investment Schemes Department of the Capital Market Intermediaries Directorate of the Hellenic Capital Market Commission.

### **Data Protection Officer**

The HCMC has appointed a Data Protection Officer (DPO).

Contact details of the Data Protection Officer: [dpoepke@cmc.gov.gr](mailto:dpoepke@cmc.gov.gr) or by post to the address: KOLOKOTRONI 1 & STADIOU, ATHENS 10562 (Attention: Data Protection Officer)

### **Data retention period**

The Hellenic Capital Market Commission keeps the personal data for at least 25 years for archiving purposes in order to perform a task carried out in the public interest and/or in the exercise of an official authority entrusted to the Hellenic Capital Market Commission, as a controller.

### **Rights of data subjects**

According to Regulation (EU) 2016/679 of the European Parliament and of the Council (General Data Protection Regulation), any data subject has the right to submit a request to the controller for access, rectification, opposition, erasure, restriction of processing of data concerning it.

The abovementioned rights shall be exercised by submitting a written request addressed to the Hellenic Capital Market Commission and the competent department of Licensing of Collective Investment Schemes of Directorate of Capital Market Intermediaries of the Hellenic Capital Market Commission.

Any interested party has the right to lodge a complaint with the competent supervisory authority, the Hellenic Data Protection Authority.

Hellenic Data Protection Authority (DPA) details:

Offices: Kifissias 1-3, Athens 115 23  
tel: +30-210 64.75.600 Fax: +30-210 64.75.628  
E-mail: [contact@dpa.gr](mailto:contact@dpa.gr)

The HCMC is in constant alignment and compliance with the terms of the GDPR and is constantly making every effort to comply with it.

### **Reviews**

Prior to any possible change in the processing of personal data through the Website, this Notice will be amended accordingly and will be posted for the information and effective exercise of the rights of any interested party.

