



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 suitability assessment**

**as**

- members of the management body of a market operator (Article 46 of Greek law 4514/2018)
- members of the management body of data reporting service providers (Article 63 of Greek law 4514/2018)
- shareholders with a qualifying holding in a market operator and persons who effectively direct its activity (Decision of HCMC 1/574/17.1.2011)
- members of the senior management, the management body and shareholders of a central securities depository (Article 27 of Regulation (EU) 909/2014 and Article 13 of Regulation 2017/392)
- senior management and members of the board of a central counterparty (CCP) (Article 27 of Regulation (EU) 648/2012), shareholders with a qualifying holding in a central counterparty (CCP) (Article 30 of Regulation (EU) No 648/2012), shareholders with a qualifying holding in a central counterparty (CCP) (Article 30 of Regulation (EU) 648/2012)
- shareholders with qualifying holdings, members of the board of directors and persons who effectively direct the business of a central counterparty and a system operator regarding the clearing and settlement (Decision of HCMC 23/530/19.11.2009).

**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 data 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 these purposes.

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

In particular, in accordance with Articles 46 and 63 of Greek law 4514/2018, Article 27 of Regulation (EU) 909/2014, Article 13 of Regulation (EU) 2017/392, Article 27 and Article 30 of Regulation (EU) 648/2012 and the decisions of the Board of Directors of the Hellenic Capital Market Commission 1/574/17.1.2011 and 23/530/19.11.2009, the Hellenic Capital Market Commission, as data 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 Hellenic Capital Market Commission's Board of Directors, as well as data relating to the solvency and tax compliance of the assessed natural persons.

This data is collected:

- either directly from the persons applying for suitability assessment.
- either through the Companies employing them or with the Companies they cooperate.

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

The personal data collected, maintained and processed by the Hellenic Capital Market Commission as a data controller in accordance with Articles 46 and 63 of Greek law 4514/2018, Article 27 of Regulation (EU) 909/2014, Article 13 of Regulation (EU) 2017/392, Article 27 and Article 30 of Regulation (EU) 648/2012 and the decisions of the Board of Directors of the Hellenic Capital Market Commission 1/574/17.1.2011 and 23/530/19.11.2009 are used for

- the assessment of formal suitability requirements,
- the assessment of the honesty, integrity, professional experience and competence, and solvency of natural persons,
- the keeping of a record of suitability approvals granted.

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

The personal data subject to the above processing is data relating to (but not limited to) CVs,

receipts for payment of examination fees, disciplinary proceedings and sanctions for administrative offenses, solvency of the persons assessed, identity 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. Certificates of non-bankruptcy and tax information of the assessors are also collected.

In case of objection by the applicants to the processing of personal data, it is not possible to assess and approve their suitability.

### **Legal basis**

The legal basis for the processing of the above personal data is the provision of Article 6 par. 1(c) of the GDPR, as the collection and processing of such data constitutes a legal obligation of the controller, as mentioned above.

### **Recipients**

The Hellenic Capital Market Commission collects, maintains and processes personal data and does not further transmit it to any third party.

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.

### **Responsible authorized officers**

For personal data issues of natural persons who are candidates for suitability assessment as above, requests are addressed to the Hellenic Capital Market Commission. The authorized officials for the suitability assessment are the Director of Capital Market Intermediaries Directorate and the Head of Markets and Information Systems 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 & STADIU, ATHENS 10562 (Attention: Data Protection Officer)

### **Data retention period**

The Hellenic Capital Market Commission keeps the personal data in its records 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 above rights are exercised by submitting a written request addressed to the Hellenic Capital Market Commission and the competent Department of Markets and Information Systems of Capital Market Intermediaries Directorate 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 potential changes to the processing of personal data through the Website, we will amend this Notice accordingly and publish it, so that you are informed and exercise effectively your rights.