

ANNEX I

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PART 1
Transposition of Directive (EU) 2019/2034

	Transposition of provisions of Directive (EU) 2019/2034	Provisions of Directive (EU) 2019/2034	Links to national text ⁽¹⁾	Reference(s) to national provisions ⁽²⁾	Available in EN (Y/N)
010	Date of the last update of information in these templates			30/6/2023	
020	I. Subject matter, scope and definitions	Articles 1 to 3	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 57 to 59	Y
030	II. Competent authorities	Articles 4 to 8	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 60 to 64	Y
040	III Initial capital	Articles 9 to 11	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 65 to 67	Y
050	IV. Prudential supervision				
060	CHAPTER 1 - Principles of prudential supervision				
070	Section 1 - Competences and duties of home and host Member States	Articles 12 to 14	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 68 to 70	Y
080	Section 2 - Professional secrecy and duty to report	Articles 15 to 17	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 70 to 73	Y
090	Section 3 - Sanctions, investigatory powers and right of appeal	Articles 18 to 23	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 74 to 79	Y
100	CHAPTER 2 - Review process				
110	Section 1 - Internal capital adequacy assessment process and internal risk	Article 24	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Article 80	Y
120	Section 2 - Internal governance, transparency, treatment of risks and remuneration	Articles 25 to 35	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 81 to 90	Y
130	Section 3 - Supervisory review and evaluation process	Articles 36 to 37	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 91 to 92	Y
140	Section 4 - Supervisory measures and powers	Articles 38 to 45	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 93 to 100	Y
150	CHAPTER 3 - Supervision of investment firm groups				
160	Section 1 - Supervision of investment firm groups on a consolidated basis and supervision of compliance with the group capital test	Articles 46 to 50	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 101 to 105	Y
170	Section 2 - Investment holding companies, mixed financial holding companies and mixed-activity holding companies	Articles 51 to 56	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 106 to 110	Y
180	TITLE V - PUBLICATION BY COMPETENT AUTHORITIES	Article 57	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Article 111	Y
190	TITLE VI - DELEGATED ACTS	Article 58	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Article 112	Y
200	TITLE VII - AMENDMENTS TO OTHER DIRECTIVES	Articles 59 to 64	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Articles 112 to 137	Y
210	TITLE VIII - FINAL PROVISIONS	Articles 65 to 69	http://www.hcmc.gr/vd/rv/elib/a4870e5b8-93b3-46bf-be01-5cac26a37ad3--1268786277-0	Article 138 & 231	Y

(1) Hyperlink(s) to the website containing the national text transposing the provision of Union law in question.

(2) Detailed references to the provision of national law, such as relevant Title, Chapter, paragraph etc.

PART 2 Model approval¹
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010	Date of the last update of information in this template	<i>30/6/2023</i>
		Description of the approach
020	Supervisory approach for the approval of the use of alternative Internal Model Approach (IMA) to calculate minimum capital requirements for market risk	
030	Minimum documentation to be provided by the investment firm applying for the use of alternative IMA	Not yet published. There are no investment firms that use alternative IMA.
040	Description of the assessment process conducted by the competent authority (use of self-assessment, reliance on external auditors and on-site-inspections) and main criteria of the assessment	Not yet published. There are no investment firms that use alternative IMA.
050	Form of the decisions taken by the competent authority and communication of the decisions to applicants	Not yet published. There are no investment firms that use alternative IMA.

PART 3				
Specific disclosure requirements applied to investment firms				
	Directive (EU) 2019/2034	Provision	Information to be provided by the competent authority	
010		Date of the last update of information in this template		30/6/2023
020	Article 44(a)	Competent authorities have the power to require investment firms that do not meet the conditions for qualifying as small and non-interconnected investment firms set out in Article 12(1) of Regulation (EU) 2019/2033 and investment firms referred to in Article 46(2) of Regulation (EU) 2019/2033 to publish the information referred to in Article 46 of that regulation more than once a year and to set deadlines for that publication;	Frequency and deadlines for publication applicable to investment firms	<i>Section 99(a) Law 4920/202 Hellenic Capital Market Commission shall have the power to: Require AEPEYs that do not meet the conditions of par. 1 art. 12 of Regulation (EU) 2019/2033 for qualifying as small and non-interconnected AEPEY and AEPEY referred to in par. 2 Article 46 of Regulation (EU) 2019/2033 to publish the information referred to in Article 46 of that Regulation more than once a year and to set deadlines for that publication. Not yet exercised</i>
030	Article 44(b)	Competent authorities may require investment firms that do not meet the conditions for qualifying as small and non-interconnected investment firms set out in Article 12(1) of Regulation (EU) 2019/2033 and investment firms referred to in Article 46(2) of Regulation (EU) 2019/2033 to use specific media and locations, in particular the investment firms' websites, for publications other than the financial statements;	Types of specific media to be used by investment firms	<i>Section 99(b) Law 4920/2022. Hellenic Capital Market Commission shall have the power to: Require AEPEYs that do not meet the conditions of par. 1 art. 12 of Regulation (EU) 2019/2033 for qualifying as small and non-interconnected investment firms referred to in par. 2 of Article 46 of Regulation (EU) 2019/2033 to use specific media and locations, in particular the AEPEY's websites, for publications other than the financial statements. Not yet exercised</i>
040	Article 44(c)	Competent authorities may require parent undertakings to publish annually, either in full or by way of references to equivalent information, a description of their legal structure and governance and organisational structure of the investment firm group in accordance with Article 26(1) of this Directive and with Article 10 of Directive 2014/65/EU.	Investment firm group parent's legal structure and governance and organisational structure	<i>Section 99(c) Law 4920/2022. Hellenic Capital Market Commission shall have the power to: Require parent undertakings to publish annually, either in full or by way of references to equivalent information, a description of their legal structure and governance and organizational structure of the AEPEY group, in accordance with par. 1 of Article 82 hereof and Article 10 of L. 4514/2018. Not yet exercised</i>

PART 4
Regulatory reporting

010	Date of the last update of information in this template	30/6/2023
020	Implementation of the reporting on financial information in accordance with Commission Implementing Regulation 2021/2284	
030	Are XBRL standards used for submitting the reporting to the competent authority?	<i>No</i>