



HELLENIC REPUBLIC
CAPITAL MARKET COMMISSION

Athens, 4 November 2020

PRESS RELEASE

The Board of Directors of the Hellenic Capital Market Commission (HCMC) at its **895/4.11.2020** meeting decided:

- To revoke in part the operating license of the company "KARAMANOF SECURITIES & INVESTMENT SERVICES S.A." and more specifically for the provision of investment advice as well as the provision of investment and ancillary services related to the financial instrument with no 4 of Part C of Annex I of Law 4514/2018, following company's request.
- To impose a total fine of € 25,000 on the company "ALPHA FINANCE INVESTMENT SERVICES S.A." for the infringement of article 6 (pars 1 and 2) of Law 4141/2013 and of article 12 (par. 6) of Law 3606/2007, as supplemented by the provisions of article 3 (par. 5), of the Decision of the Board of Directors of the HCMC with no. 2/452/1.11.2007, during the provision of investment services to its clients.
- To impose a total fine of € 15,000 on the company "PRELIUM INVESTMENT SERVICES S.A." for the infringement of article 2 (pars 1 and 2) of Law 2843/2000, of article 6 (pars 1 and 2) of Law 4141/2013, of article 12 (par. 2) of Law 3606/2007, as supplemented by the provisions of article 3 (par. 1 c) of the Decision of the Board of Directors of the HCMC with no. 2/452/1.11.2007 and of article 19 of the Decision of the Board of Directors of the HCMC with no. 1/452/1.11.2007, during the provision of investment services to its clients.
- To impose a total fine of €8,000 on the company "HELLENIC BANK PUBLIC COMPANY LIMITED" for the infringement of articles 5 (pars 1 and 2), 8 (pars 1 and 2) and 16 (pars 1 and 2) of the Decision of the Board of Directors of the HCMC with no. 1/452/1.11.2007, during the provision of investment services to its clients.
- To impose a total fine of €8,000 on the company "HSBC BANK PLC" for the infringement of articles 5 (pars 1 and 2), 8 (pars 1 and 2) and 16 (pars 1 and 2) of the Decision of the Board of Directors of the HCMC with no. 1/452/1.11.2007, during the provision of investment services to its clients.
- To impose a total fine of €5,000 on the company "CITIBANK INTERNATIONAL PLC" for the infringement of articles 5 (pars 1 and 2) 8 (pars 1 and 2) and 16 (pars 1 and 2) of the Decision of the Board of Directors of the HCMC with no. 1/452/1.11.2007, during the provision of investment services to its clients.