



BANK OF GREECE
EUROSYSTEM

THE EXECUTIVE COMMITTEE

MEETING No. 190/16.06.2021

Subject 1: Terms and conditions for granting approval or exemption from approval of financial holding companies or mixed financial holding companies under Article 22A of Law 4261/2014

THE EXECUTIVE COMMITTEE OF THE BANK OF GREECE, having regard to:

- (a) Articles 28 and 55A of the Statute of the Bank of Greece (Government Gazette A 298/1927);
- (b) the provisions of Law 4261/2014 "Access to the activity of credit institutions and prudential supervision of credit institutions and investment firms (transposing Directive 2013/36/EU), repeal of Law 3601/2007, and other provisions" (Government Gazette A 107), in particular Articles 4, 14, 22A and 114 thereof;
- (c) Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012 (OJ L 176/1, 27.6.2013);
- (d) Council Regulation (EU) No 1024/2013 of 15 October 2013 conferring specific tasks on the European Central Bank concerning policies relating to the prudential supervision of credit institutions (OJ L 287/63, 29.10.2013), in particular Articles 4 and 6 thereof;
- (e) Regulation (EU) No 468/2014 of the European Central Bank of 16 April 2014 establishing the framework for cooperation within the Single Supervisory Mechanism between the European Central Bank and national competent authorities and with national designated authorities (SSM Framework Regulation) (OJ L 141/1, 14.5.2014);
- (f) Bank of Greece Executive Committee Act 142/11.6.2018 "Procedures for (a) the authorisation of credit institutions in Greece; (b) the acquisition of, or increase in, a holding in a credit institution; and (c) the taking up of a post in the board of directors and of key function holder of a credit institution" (Government Gazette B 2674),



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(g) the fact that no expenditure shall be incurred by the Government Budget as a result of the provisions of this Act,

HEREBY DECIDES as follows:

to specify the terms and conditions for granting approval or exemption from approval, under Article 22A of Law 4261/2014, of parent financial holding companies and parent mixed financial holding companies (hereinafter “holding companies”) referred to in para. 1 of the above article, as follows:

CHAPTER A

SCOPE

1. The provisions of this Act shall apply to holding companies referred to in Article 22A(1) of Law 4261/2014.
2. The above holding companies shall submit their applications under Article 22A of Law 4261/2014, along with the required data and documentation, in accordance with the provisions of this Act to the Bank of Greece, in its capacity either as consolidating supervisor or as competent authority in the Member State where they are established.

CHAPTER B

TERMS AND CONDITIONS FOR APPROVAL

1. For the approval of the above companies by the Bank of Greece under Article 22A(4) of Law 4261/2014, the following shall be required:
 - (a) an application as per Annex I to this Act, duly signed and accompanied by the documentation provided for therein;
 - (b) the questionnaires set out in Annex II to Bank of Greece Executive Committee Act 142/11.6.2018 “Procedures for (a) the authorisation of credit institutions in Greece; (b) the acquisition of, or increase in, a holding in a credit institution; and (c) the taking



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up of a post in the board of directors and of key function holder of a credit institution”, completed by the persons referred to in para. 2 of this Chapter and accompanied by the required documentation;

(c) notification of the identity and shareholding percentages of the twenty largest shareholders (natural or legal persons) of the holding company. In connection with these persons, the Bank of Greece may require submission of the relevant questionnaires in accordance with para. 2 of this Chapter.

No notification other than the required questionnaires shall be needed in connection with persons included in the twenty largest shareholders and required to submit questionnaires in accordance with para. 2 of this Chapter;

(d) information regarding the nomination of at least two persons effectively directing the holding company and on compliance with the requirements of Article 114 of Law 4261/2014;

(e) full description of the structural organisation of the group of which the holding company is part, including detailed information on all the matters referred to in Article 22A(4)(b) of Law 4261/2014 and a diagram with clear indication of its subsidiaries and, where applicable, parent undertakings, the location and type of activity undertaken by each of the entities within the group, as well as their respective intra-group holdings; and

(f) a comprehensive report with detailed description of the internal organisation and distribution of tasks within the group, focusing on the internal governance framework and internal control arrangements. This report shall also include detailed information on all the matters referred to in Article 22A(4)(a) of Law 4261/2014.

2. The following persons shall be required to complete and submit the questionnaires of Annex II to Executive Committee Act 142/11.6.2018:

(a) The questionnaire “Assessment of proposed acquisition of a holding by natural persons” shall be submitted by any natural persons who:



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(aa) have or will have a qualifying holding, as defined in paragraph 1(33) of Article 3 of Law 4261/2014, directly or indirectly, based on the criteria set out in Title II of Chapter B of Executive Committee Act 142/11.6.2018, in the holding company, alone or acting in concert within the meaning of Article 23(5) of Law 4261/2014;

(bb) although not included in the above case, exercise or will exercise control, as defined in Article 3(1)(34) of Law 4261/2014, over the holding company, based on written or other arrangements or acting in concert within the meaning of Article 23(5) of Law 4261/2014.

(b) The questionnaire "Assessment of proposed acquisition of a holding by legal persons" shall be submitted by legal persons meeting the conditions of points (aa) or (bb) of indent (a) of para. 2 of this Chapter.

The Bank of Greece may allow the beneficial owner, as defined in Article 3(17) of Law 4557/2018, to submit questionnaires in the name and on behalf of legal persons having an indirect holding, in accordance with the provisions hereof.

(c) The questionnaire "Fit and proper assessment of members of the board of directors and key function holders" shall be submitted by all the members of the board of directors of the holding company, as well as the persons referred to in indent (d) of para. 1 of this Chapter if they are not members of the board of directors.

3. Where approval has been granted, the holding company shall submit on an annual basis, until 31 March every year, to the Bank of Greece as consolidating supervisor, confirmation that the conditions of approval under Article 22A(4) of Law 4261/2014 continue to be fulfilled. The confirmation shall be in the form of a statutory declaration by the legal representatives of the holding company.

CHAPTER C

TERMS AND CONDITIONS FOR EXEMPTION FROM APPROVAL

1. In order for the Bank of Greece to grant exemption to the holding company from approval under Article 22A(5) of Law 4261/2014, the following shall be required:



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- (a) an application as per Annex II to this Act, duly signed and accompanied by the documentation provided for therein;
- (b) a declaration by the holding company to the effect that it has not been designated as resolution entity in any of the group's resolution groups in accordance with the resolution strategy under Law 4335/2015;
- (c) minutes of the board of directors concerning the designation of a subsidiary credit institution as responsible to ensure the group's compliance with prudential requirements on a consolidated basis pursuant to Article 22A(5)(c) of Law 4261/2014;
- (d) a business plan of the holding company, focusing on its activities and role within the group, so as to cover in detail all the matters referred to in Article 22A(5)(a) and (d) of Law 4261/2014; and
- (e) the structural organisation of the group of which the holding company is part, with a clear indication of its subsidiaries and, where applicable, parent undertakings, as well as the location and type of activity undertaken by each of the entities within the group.

2. Where exemption from approval has been granted, the holding company shall submit on an annual basis, until 31 March every year, to the Bank of Greece as consolidating supervisor, confirmation that the exemption conditions under Article 22A(5) of Law 4261/2014 continue to be fulfilled. The confirmation shall be in the form of a statutory declaration by the legal representatives of the holding company.

CHAPTER D

OTHER PROVISIONS

1. The Bank of Greece may, at any time during the approval or exemption procedures and/or during the operation of the holding company, request any additional data, information and clarifications as may reasonably be necessary for the purposes of this Act, which shall be provided to the Bank of Greece without delay.



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2. The holding company shall, without undue delay, notify the Bank of Greece of any change in the information and documentation submitted for obtaining approval or exemption from approval under Article 22A of Law 4261/2014.
3. Natural and legal persons that are required to submit the relevant questionnaires under para. 2 of Chapter B hereof shall immediately notify the Bank of Greece in writing of any change in material data that could affect their suitability for the position they hold.
4. The Bank of Greece may request the persons subject to the requirements of para. 2 of Chapter B hereof to submit relevant questionnaires, as appropriate, whenever deemed necessary for purposes of prudential assessment.
5. The provisions of Chapters B and C of Executive Committee Act 142/11.6.2018 shall apply to the persons referred to in para. 2 of Chapter B hereof.
6. The provisions of this Act shall be without prejudice to the obligation of a holding company to submit to any other competent authority involved in the approval or exemption procedure the information required under Article 21A of Directive 2013/36/EU.
7. Existing holding companies need not submit anew any information and documentation that have been updated during the last two years and are available to the Bank of Greece.
8. The certificates submitted for the purposes hereof must have been issued by legally authorised persons and must have been authenticated and translated into Greek or English.

CHAPTER E

FINAL PROVISIONS

1. The Banking Supervision Department of the Bank of Greece is hereby authorised to provide instructions and clarifications on the implementation of this Act.
2. Annexes I and II hereto form an integral part of this Act.



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3. This Act shall be published in the Government Gazette and posted on the website of the Bank of Greece.

THE SECRETARY

THE MEMBERS

THE CHAIRMAN

Yannis Stournaras

True and exact copy,

Athens, 06.07.2021

The Secretary

[signed]

I.Pantou



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ANNEX I
APPLICATION FORM

FOR APPROVAL UNDER ARTICLE 22A OF LAW 4261/2014

Instructions for completing the application form

1. The application form must be duly completed and signed by two authorised natural persons, with legalisation of their signatures by a competent administrative authority. The authorisation documents shall be attached to the declaration contained in Chapter 9 of this application.
2. The blank space provided under each question in the application form is NOT indicative of the size of the required answer.
3. All questions must be duly answered, otherwise the necessary explanations should be provided.
4. The supporting documents accompanying the application shall provide a cross-reference to the respective paragraph and shall be attached to the application as numbered Attachments according to the predefined numbering herein. The numbering of the Attachments shall remain unaltered even if there are no documents to be submitted.
5. Evidence of the information provided by the applicant shall be mainly in the form of an official certificate (if available in the relevant Member State) or other equivalent document issued by a reliable and independent source.
6. Any false or misleading information or deliberate concealment of important information may, notwithstanding any criminal liability, lead to the immediate, without further assessment, rejection of the application.
7. Submission of a hard copy of the application and the related supporting documentation should be accompanied by an electronic memory device of your choice (CD or USB) containing scanned copies of all the documentation in PDF format.
8. The completed application shall be submitted in a closed envelope addressed as follows:



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BANK OF GREECE

Banking Supervision Department

21, E. Venizelou St., 10250 Athens

Telephone: +30 210 3205019

Email: dep.bankingsupervision@bankofgreece.gr

Website: www.bankofgreece.gr

The data submitted in this application are covered by professional secrecy under Article 54 of Law 4261/2014.



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CONTENTS OF THE APPLICATION

- 1 GENERAL INFORMATION
- 2 ARTICLES OF ASSOCIATION
- 3 BUSINESS PLAN
- 4 GROUP
- 5 SHAREHOLDERS
- 6 BOARD OF DIRECTORS – PERSONS EFFECTIVELY DIRECTING
THE BUSINESS OF THE HOLDING COMPANY
- 7 FINANCIAL POSITION
- 8 ATTACHMENTS
- 9 DECLARATION



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1. General information

1.1	Registered name on the basis of (draft) articles of association	:
1.2	Business name	:
1.3	Registration of legal form (number and date) (please attach, as <u>Attachment 1</u> , the registration certificate)	:
1.4	Tax Registration Number (please attach, as <u>Attachment 2</u> , the relevant certificate)	:
1.5	Address of registered company seat	:
1.6	Address of head office (<i>if different from 1.5 above</i> ; please attach, as <u>Attachment 3</u> , the relevant certificate)	:
1.7	Postal address	:
1.8	Telephone number(s)	:
1.9	Email address	:
1.10	Company website	:
1.11	Group website	:
1.12	External statutory auditors	:
	1.12.1 Name of audit firm	:
	1.12.2 Name of auditor in charge	:
	1.12.3 Postal address	:
	1.12.4 Email address	:
	1.12.5 Telephone number(s)	:
1.13	Legal advisors	:
	1.13.1 Name of legal advisor in charge	:
	1.13.2 Postal address	:
	1.13.3 Email address	:
	1.13.4 Telephone number(s)	:
1.14	Authorised representatives of the company in respect of this application (please attach, as <u>Attachment 4</u> , the relevant authorisation documents)	:
	1.14.1 Representative I	:
	1.14.1.1 Name	:
	1.14.1.2 Position/relationship with the company	:
	1.14.1.3 Business address	:



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	1.14.1.4 Postal address	:
	1.14.1.5 Email address	:
	1.14.1.6 Telephone number(s)	:
	1.14.2 Representative II	:
	1.14.2.1 Name	
	1.14.2.2 Position/relationship with the company	:
	1.14.2.3 Business address	:
	1.14.2.4 Postal address	:
	1.14.2.5 Email address	:
	1.14.2.6 Telephone number(s)	:

2. Articles of association

2.1 Please attach, as Attachment 5, an authenticated copy or, where applicable, a draft of the holding company's articles of association.

3. Business plan

3.1 Please attach, as Attachment 6, the holding company's business plan, focusing on its role within the group.

4. Group

4.1 Please attach, as Attachment 7, the structural organisation of the group, including detailed information on all the matters referred to in Article 22A(4)(b) of Law 4261/2014 and a diagram with clear indication of its subsidiaries and, where applicable, parent undertakings, the location and type of activity undertaken by each of the entities within the group, as well as their respective intra-group holdings.

4.2 Please complete the table below based on the structural organisation of the group.

Company name	Registration number	Home country	Competent supervisory authority	Activities



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4.3 Please indicate whether the holding company is a part of a financial conglomerate.

.....

4.4 Please indicate whether the holding company has close links, as defined in Article 3(1)(35) of Law 4261/2014, with persons other than those referred to in 4.1 above.

No

Yes ► If yes, please complete the table below:

Company name	Registration number	Home country	Competent supervisory authority	Activities	Description of close link

4.5 Please attach, as Attachment 8, a report with detailed description of the internal organisation and distribution of tasks within the group, focusing on the internal governance framework and internal control arrangements. This report shall also include detailed information on all the matters referred to in Article 22A(4)(a) of Law 4261/2014.



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a. Members of the board of directors

Name	Country of domicile	Member status (executive/non-executive/independent)

b. Persons effectively directing the business of the holding company (other than those listed above)

Name	Country of domicile	Responsibilities

7. Financial position

7.1 Please attach, as Attachment 10, the financial statements (on a solo, sub-consolidated and consolidated basis) of the holding company for the last three (3) financial years, audited according to law by a statutory auditor/audit firm.

Where the holding company is a newly established entity, instead of the information specified hereinabove, the holding company shall provide to the Bank of Greece the forecast balance sheets and forecast profit and loss accounts or income statements for the first three business years, including the planning assumptions used.



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Where audited financial statements for the last three (3) financial years are not available, please attach unaudited financial statements for these years, as well as any available audited financial statements for previous years.

Moreover, if the financial position of the holding company has changed considerably in relation to the picture reflected in the submitted statements, please specify.

7.2 Please attach, as Attachment 11, any report(s) by external credit rating agencies regarding the holding company and/or the group the holding company is or may become part of.



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8. Attachments

Please list the supporting documents that accompany the application

Attachment		Paragraph	Tick (✓) if submitted or indicate “n/a”
1	Registration certificate	1.3	
2	Evidence of Tax Registration Number	1.4	
3	Evidence of the address of the registered company seat and head office, if different	1.5-1.6	
4	Authorisation documents for the representatives of the company	1.14	
5	Authenticated copy of the articles of association or draft articles of association	2.1	
6	Business plan	3.1	
7	Structural organisation of the group	4.1	
8	Internal organisation and distribution of tasks	4.5	
9	Shareholding composition	5.1	
10	Financial statements	7.1	
11	Report(s) by external credit rating agencies	7.2	
12	Other. Please specify		



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9. Declaration

We, the undersigned, hereby declare that:

- (a) the information provided in this application is complete and true and we agree to provide the Bank of Greece with any further information and clarifications in respect of this application;
- (b) all necessary measures have been taken to ensure compliance with the approval requirements under the applicable EU and national legislation;
- (c) the Bank of Greece shall be promptly notified in writing of any change in the information and data required hereunder and the relevant questionnaires as may occur during the time period between the submission of this application and the granting of approval.

Furthermore, we confirm that:

- (a) we are aware that the wilful or negligent provision of untrue or misleading information to the Bank of Greece also entails criminal sanctions; and
- (b) fully cognizant of the legal consequences, we hereby provide our express consent to the Bank of Greece and its duly authorised staff to seek and obtain information from any third party, as necessary to verify the declarations and data hereinabove; and
- (c) we warrant that we are authorised to sign on behalf of the applicant and we attach the relevant authorisation documents.

.....

Full name and position

.....

(Signature)

.....

(Place and Date)

.....

Full name and position

.....

(Signature)



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ANNEX II
APPLICATION FORM
FOR EXEMPTION FROM APPROVAL UNDER ARTICLE 22A OF LAW
4261/2014

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1. The application form must be duly completed and signed by two authorised natural persons, with legalisation of their signatures by a competent administrative authority. The authorisation documents shall be attached to the declaration contained in Chapter 8 of this application.
2. The blank space provided under each question in the application form is NOT indicative of the size of the required answer.
3. All questions must be duly answered, otherwise the necessary explanations should be provided.
4. The supporting documents accompanying the application shall provide a cross-reference to the respective paragraph and shall be attached to the application as numbered Attachments according to the predefined numbering herein. The numbering of the Attachments shall remain unaltered even if there are no documents to be submitted.
5. Evidence of the information provided by the applicant shall be mainly in the form of an official certificate (if available in the relevant Member State) or other equivalent document issued by a reliable and independent source.
6. Any false or misleading information or deliberate concealment of important information may, notwithstanding any criminal liability, lead to the immediate, without further assessment, rejection of the application.
7. Submission of a hard copy of the application and the related supporting documentation should be accompanied by an electronic memory device of your choice (CD or USB) containing scanned copies of all the documentation in PDF format.



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8. The completed application shall be submitted in a closed envelope addressed as follows:

BANK OF GREECE

Banking Supervision Department

21, E. Venizelou St., 10250 Athens

Telephone: +30 210 3205019

Email: dep.bankingsupervision@bankofgreece.gr

Website: www.bankofgreece.gr

The data submitted in this application are covered by professional secrecy under Article 54 of Law 4261/2014.



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THE BUSINESS OF THE HOLDING COMPANY
- 6 DESIGNATION OF SUBSIDIARY CREDIT INSTITUTION
- 7 ATTACHMENTS
- 8 DECLARATION



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1. General information

1.1	Registered name on the basis of (draft) articles of association	:
1.2	Business name	:
1.3	Registration of legal form (number and date) (please attach, as <u>Attachment 1</u> , the registration certificate)	:
1.4	Tax Registration Number (please attach, as <u>Attachment 2</u> , the relevant certificate)	:
1.5	Address of registered company seat	:
1.6	Address of head office (if different from 1.5 above; please attach, as <u>Attachment 3</u> , the relevant certificate)	:
1.7	Postal address	:
1.8	Telephone number(s)	:
1.9	Email address	:
1.10	Company website	:
1.11	Group website	:
1.12	External statutory auditors	:
	1.12.1 Name of audit firm	:
	1.12.2 Name of auditor in charge	:
	1.12.3 Postal address	:
	1.12.4 Email address	:
	1.12.5 Telephone number(s)	:
1.13	Legal advisors	:
	1.13.1 Name of legal advisor in charge	:
	1.13.2 Postal address	:
	1.13.3 Email address	:
	1.13.4 Telephone number(s)	:
1.14	Authorised representatives of the company in respect of this application (please attach, as <u>Attachment 4</u> , the relevant authorisation documents)	:
	1.14.1 Representative I	:
	1.14.1.1 Name	:



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	1.14.1.2 Position/relationship with the company	:
	1.14.1.3 Business address	:
	1.14.1.4 Postal address	:
	1.14.1.5 Email address	:
	1.14.1.6 Telephone number(s)	:
	1.14.2 Representative II	:
	1.14.2.1 Name	:
	1.14.2.2 Position/relationship with the company	:
	1.14.2.3 Business address	:
	1.14.2.4 Postal address	:
	1.14.2.5 Email address	:
	1.14.2.6 Telephone number(s)	:

2. Articles of association

2.1 Please attach, as Attachment 5, an authenticated copy or, where applicable, a draft of the holding company's articles of association.

3. Business plan

3.1 Please attach, as Attachment 6, the holding company's business plan, focusing on its activities and role within the group so as to cover in detail all the matters referred to in Article 22A(5)(a) and (d) of Law 4261/2014.

4. Group

4.1 Please attach, as Attachment 7, the organisational chart of the group of which the holding company is part, with a clear indication of its subsidiaries and, where applicable, parent undertakings, as well as the location and type of activity undertaken by each of the entities within the group.

4.2 Please complete the table below based on the structural organisation of the group.



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Company name	Registration number	Home country	Competent supervisory authority	Activities

4.3 Please indicate whether the holding company is a part of a financial conglomerate.

.....

4.4 Please indicate whether the holding company has close links, as defined in Article 3(1)(35) of Law 4261/2014, with persons other than those referred to in 4.1 above.

No

Yes ▶ If yes, please complete the table below:

Company name	Registration number	Home country	Competent supervisory authority	Activities	Description of close link



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4.5 Please attach, as Attachment 8, a declaration by the holding company to the effect that it has not been designated as resolution entity in any of the group's resolution groups in accordance with the resolution strategy under Law 4335/2015.

5. Board of directors – Persons effectively directing the business of the holding company

Please complete the table below with the details of the following persons:

a. Members of the board of directors

Name	Country of domicile	Member status (executive/non-executive/independent)

b. Persons effectively directing the business of the holding company (other than those listed above)

Name	Country of domicile	Responsibilities

6. Designation of subsidiary credit institution

6.1 Please attach, as Attachment 9, minutes of the board of directors concerning the designation of a subsidiary credit institution as responsible to ensure the group's compliance with prudential requirements on a consolidated basis pursuant to Article 22A(5)(c) of Law 4261/2014.



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7. Attachments

Please list the supporting documents that accompany the application

Attachment		Paragraph	Tick (✓) if submitted or indicate “n/a”
1	Registration certificate	1.3	
2	Evidence of Tax Registration Number	1.4	
3	Evidence of the address of the registered company seat and head office, if different	1.5-1.6	
4	Authorisation documents for the representatives of the company	1.14	
5	Authenticated copy of the articles of association or draft articles of association	2.1	
6	Business plan	3.1	
7	Group structure	4.1	
8	Declaration on non-designation as resolution entity	4.5	
9	Board of directors’ minutes	6.1	
10	Other. Please specify		



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8. Declaration

We, the undersigned, hereby declare that:

- (a) the information provided in this application is complete and true and we agree to provide the Bank of Greece with any further information and clarifications in respect of this application;
- (b) all necessary measures have been taken to ensure compliance with the exemption requirements under the applicable EU and national legislation;
- (c) the Bank of Greece shall be promptly notified in writing of any change in the information and data required hereunder and the relevant questionnaires as may occur during the time period between the submission of this application and the granting of exemption.

Furthermore, we confirm that:

- (a) we are aware that the wilful or negligent provision of untrue or misleading information to the Bank of Greece also entails criminal sanctions; and
- (b) fully cognizant of the legal consequences, we hereby provide our express consent to the Bank of Greece and its duly authorised staff to seek and obtain information from any third party, as necessary to verify the declarations and data hereinabove; and
- (c) we warrant that we are authorised to sign on behalf of the applicant and we attach the relevant authorisation documents.

.....

Full name and position

.....

(Signature)

.....

(Place and Date)

.....

Full name and position

.....

(Signature)



BANK OF GREECE
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THE EXECUTIVE COMMITTEE

THE SECRETARY

THE MEMBERS

THE CHAIRMAN

Yannis Stournaras

True and exact copy,

Athens, 06.07.2021

The Secretary

[signed]

I.Pantou