



**BANK OF GREECE**

**EUROSYSTEM**

**THE EXECUTIVE COMMITTEE**

**ANNEX**

**APPLICATION**

**FOR AUTHORISATION OF A BRANCH OF A CREDIT INSTITUTION  
ESTABLISHED IN A THIRD COUNTRY**

Instructions for completing the application form

1. The application form must be duly completed and signed by two persons authorised to this effect. If the application is not submitted by the authorised natural persons themselves, their signatures must be verified for their authenticity by the competent administrative authority.
2. The space provided under each question in the questionnaire is NOT indicative of the size of the required answer.
3. The questions must be duly completed, otherwise the necessary explanations should be provided.
4. The supporting documents accompanying the application shall provide a cross-reference to the relevant paragraph and shall be attached to the application as numbered Attachments, following the specified herein numbering order. The numbering of the Attachments shall not change, even in the case that there are no evidence/documents to be submitted.
5. Where there is no competent authority to issue the required certificates, equivalent documents issued by an independent and reliable source shall be submitted.
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. The completed application shall be submitted to the following address:  
BANK OF GREECE

Banking Supervision Department

21, E. Venizelos Ave., 10250 Athens

Tel: +30 210 3205019,

Fax: +30 210 3205400

E-mail: [dep.bankingsupervision@bankofgreece.gr](mailto:dep.bankingsupervision@bankofgreece.gr)

Website: [www.bankofgreece.gr](http://www.bankofgreece.gr)

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## **1. General Information**

<b>1.1</b>	<b>Registered name:</b>	
<b>1.2</b>	<b>Trading name:</b>	
<b>1.3</b>	<b>Registration of legal form (number and date):</b> (Please attach, as <u>Attachment 1</u> , the certificate of registration at competent authorities' Registry or, if no such Registry exists, attach a relevant document provided by the competent supervisory authority of the credit institution)	
<b>1.4</b>	<b>Address of registered company seat:</b>	
<b>1.5</b>	<b>Address of head office</b> (if different from 1.4 above): (Please attach, as <u>Attachment 2</u> , relevant probative evidence)	
<b>1.6</b>	Postal address:	
<b>1.7</b>	Telephone number:	
<b>1.8</b>	Fax number:	
<b>1.9</b>	Email:	
<b>1.10</b>	Company website:	
<b>1.11</b>	Group website:	
<b>1.12</b>	<b>External auditors</b>	
	1.12.1 Name of audit firm:	
	1.12.2 Name of auditor in charge:	
	1.12.3 Postal address:	
	1.12.4 E-mail:	
	1.12.5 Telephone number:	

	1.12.6 Fax number:	
<b>1.13</b>	<b>Legal advisors</b>	
	1.13.1 Name of legal advisor in charge:	
	1.13.2 Postal address:	
	1.13.3 E-mail:	
	1.13.4 Telephone number:	
	1.13.5 Fax number:	
<b>1.14</b>	<b>Authorised representatives of the applicant in respect of this application</b> (Please attach, as <u>Attachment 3</u> , relevant authorisation documents)	
	<b>1.14.1 Representative I</b>	
	1.14.1.1 Name:	
	1.14.1.2 Position/relationship with applicant:	
	1.14.1.3 Business address:	
	1.14.1.4 Postal address:	
	1.14.1.5 E-mail:	
	1.14.1.6 Telephone number:	
	1.14.1.7 Fax number:	
	<b>1.14.2 Representative II:</b>	
	1.14.2.1 Name:	
	1.14.2.2 Position/relationship with applicant :	
	1.14.2.3 Business address:	
	1.14.2.4 Postal address:	
	1.14.2.5 E-mail:	
	1.14.2.6 Telephone number:	

	1.14.2.7 Fax number:	
<b>1.15</b>	<b>Branch Information</b>	
	1.15.1 Postal address:	
	1.15.2 Telephone number:	
	1.15.3 Fax number:	

## **2. Initial Capital**

2.1 Please state the amount of the initial capital of the branch.

2.2 Please attach, as Attachment 4, probative evidence of the paying-up of the initial capital under the provisions of Chapter A hereof.

## **3. Competent supervisory authority – Description of activities**

3.1 Please state the competent supervisory authority as well as its contact details.

3.2 Please attach, as Attachment 5, a certified copy of the applicant's authorisation by the competent supervisory authority of the third country.

3.3 Please attach, as Attachment 6, a brief history of the applicant, stating its most important activities in terms of revenue generation, as well as its rank in terms of assets/deposits/lending in its home country.

## **4. Shareholding structure and group structure**

4.1 Please attach, as Attachment 7, the applicant's shareholding structure.

4.2 Please state whether the applicant is a part of a group.

☐ No

☐ Yes

If yes, please specify below.

4.3 Please state whether the applicant is a part of a financial conglomerate.

4.4 Please attach, as Attachment 8, the structure of the group the applicant is a part of, stating the name and type of activities of all entities in the group, as well as their percentages in the group. Please also attach, as Attachment 8, the legal persons the applicant has close links with, as defined in Article 4 (1) (38) of Regulation (EU) no. 575/2013.

## **5. Organisational structure**

5.1 Please attach, as Attachment 9, the organisational chart of the applicant which should illustrate in detail the following:

5.1.1 The reporting lines (up to the management body of the applicant).

5.1.2 The Sectors/Departments/Sections/Units/Services.

5.1.3 The Committees.

5.1.4 The number of staff per Sector/Department/Section/Unit/Service.

5.1.5 The third parties to whom activities have been outsourced.

5.2 Please complete the table below with the details of the persons referred to in points (d) to (f) of para. 3 of Chapter A hereof, and of key function holders of critical/significant functions of the branch.

a. Persons effectively directing the business of the branch.

Name	Current private address	Responsibilities

b. Key function holders of critical/significant functions of the branch and the AML/CTF Officer under Article 44 of Law 3691/2008

Name	Current private address	Position

5.3 Please attach, as Attachment 10, a recent confirmation by an independent and reliable source (external auditors etc.) regarding the adequacy and reliability of internal control systems of the credit institution as well as AML/CTF procedures.

5.4 Please attach, as Attachment 11, a copy of the latest internal audit report of the applicant.

5.5 Please attach, as Attachment 12, information on the AML/CTF policy to be adopted under the provisions of para. 1.2 of Banking and Credit Committee Decision 281/17.3.2009, as currently in force.

## **6. Financial statements**

6.1 Please attach, as Attachment 13, the financial statements of the applicant credit institution as well as of the group of which the applicant is a part , for the last three years, audited according to law by chartered accountants or other audit firms. If the application is submitted during the second half of the financial year, please submit half-yearly or three-quarter accounts, as appropriate. Moreover, if the financial position of the applicant credit institution has changed considerably in relation to the picture reflected in the submitted statements, please state the relevant information in detail.

6.2 Please attach, as Attachment 14, any report(s) by external credit assessment institutions for the applicant and the group of which the applicant is a part.

**7. Reputation of the applicant credit institution**

7.1 In the last ten years, has any application for authorisation of the applicant to the Bank of Greece or to another competent authority of the financial sector, in Greece or abroad, been rejected or repealed or withdrawn, for reasons relating to the applicant or any legal person it has close links with, within the meaning of Article 4 (1)(38) of Regulation (EU) no. 575/2013?

Did this occur for reasons relating to any legal person it has close links with, within the meaning of Article 4 (1)(38) of Regulation (EU) no. 575/2013?

☐ No

☐ Yes                      If yes, please specify below:

7.2 During the last ten years, has any competent supervisory authority, in Greece or abroad, conducted audits (other than regular audits) of the accounts and financial data of the applicant credit institution?

☐ No

☐ Yes                      If yes, please specify below:

7.3 During the last ten years, has any competent supervisory authority, in Greece or abroad, requested access to or seized the books or records of the applicant credit institution?

☐ No

☐ Yes                      If yes, please specify below:

7.4 During the last ten years, has the applicant credit institution been investigated by any competent supervisory authority, in Greece or abroad?

☐ No

☐ Yes      If yes, please specify below:

7.5 Has the applicant credit institution ever obstructed the effective exercise of supervisory functions by competent authorities in Greece or abroad?

☐ No

☐ Yes      If yes, please specify below:

7.6 Does a conviction exist, or have any criminal or administrative sanctions been imposed, or are there any criminal charges pending against the applicant or against any legal person it has close links with, within the meaning of Article 4 (1)(38) of Regulation (EU) no. 575/2013, in Greece or abroad:

7.6.1 For offences related to fraud, bribery, forgery or tax evasion?

☐ No

☐ Yes      If yes, please specify below:

7.6.2 For offences related to money laundering and terrorism financing?

☐ No

☐ Yes      If yes, please specify below:

7.6.3 For offences related to the abuse of confidential or privileged information?

☐ No

☐ Yes      If yes, please specify below:

7.6.4 For offences related to the manipulation of the market price of a financial instrument traded on a regulated market or an equivalent third country market?

☐ No

☐ Yes                      If yes, please specify below:

7.6.5 In relation to the provision of principal and ancillary investment services?

☐ No

☐ Yes                      If yes, please specify below:

7.7 During the last ten years, has the applicant been in Greece or abroad:

(a) adjudicated bankrupt?

(b) subject to conservatorship, enforcement or liquidation proceedings, or pre-bankruptcy or relevant resolution proceedings?

(c) subject to an application for the above?

If yes, please specify below:

7.8 When and why were the external auditors of the applicant credit institution last replaced? If the external auditors refused to cooperate, please specify.

If you have responded affirmatively to any of the above questions under para. 7, please attach, as Attachment 15, the relevant documentation, indicating the related question.

## **8. Attachments**

<b>Attachment</b>		<b>Paragraph</b>	<b>Tick (✓) if submitted or indicate “n/a”</b>
1	Certificate of Registration	1.3	
2	Evidence of the address of the head office	1.5	
3	Authorisation documents for the representatives of the applicant	1.14	
4	Evidence of the paying-up of the initial capital	2.2	
5	Certified copy of the applicant’s authorisation	3.2	
6	Description of activities	3.3	
7	Applicant’s shareholding structure	4.1	
8	Group structure and persons with close links	4.4	
9	Organisational chart	5.1	
10	Confirmation regarding the adequacy and reliability of internal control systems	5.3	
11	Copy of the latest internal audit report	5.4	
12	Information on the AML/CTF policy	5.5	
13	Financial statements	6.1	
14	Reports of external credit assessment institutions	6.2	
15	Information on questions 7.1 to 7.8	7	
16	Other (please specify)		

## **9. Declaration**

We, the undersigned, hereby declare that:

- (a) the information and data provided in this questionnaire are complete and true, and we agree to provide forthwith the Bank of Greece with any further data, information and clarifications in respect of this application;
- (b) the Bank of Greece shall be notified forthwith in writing of any change in the information required hereunder as may occur between the submission of this application and the granting of authorisation to the credit institution.

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.
- (b) Fully cognizant of the legal consequences, we hereby provide our express permission to the Bank of Greece and its duly authorised staff to seek and obtain information from any other party, including foreign or domestic public authorities, as necessary to verify the declarations and data hereinabove.

We warrant that we are authorised to sign on behalf of the applicant and attach the relevant legal documents.

Full name and position

Full name and position

(signature)

(signature)

(Place and date)