

# REPORTING GUIDELINES

## ANNEX D

VERSION: 3.0 – 01 DEC 2014 | EFFECTIVE FROM 1 DEC 2014



# 1. REPORTING GUIDELINES

1. The Vendor/Subvendor/Member has the obligation to submit the reports of its monthly activity described in this Annex, which shall be used as a basis for the calculation of any fees to be charged (forms V-02 and V-03).
2. Alternatively, to the use of reporting forms V-02 and V-03, the use of a CSV file (including the same information with the aforesaid forms) may be used, according to the instructions provided by Euronext Athens.
3. The Euronext Athens may agree to accept reporting forms other than the ones mentioned above; provided that the Vendor/Subvendor/Member will pay 30 Euros per report form (file) submitted (report processing fees).
4. The aforesaid monthly reporting forms V-02 and V-03, CSV files or other agreed with the Euronext Athens, shall be submitted to Euronext Athens on a quarterly basis, **every calendar quarter, within twenty (20) days from the first day of the next quarter.**
5. The Vendor/Subvendor/Member may use only the reporting forms described below which shall be provided by Euronext Athens in electronic form. Filing of such reports shall be made to the following address:  
  
Euronext Athens Data Feed Services  
Euronext Athens  
110, Athinon Ave., GR 104 42 Athens  
Email: DFS-Reporting@athexgroup.gr  
Tel: +30 210 336 6340, Fax: +30 210 336 6296
6. Especially for the reporting forms V-05 and V-06, these can be submitted to Euronext Athens only electronically in the following e-mail address DFS-Reporting@athexgroup.gr
7. In addition to the filing to the above postal address, the aforesaid reports may be sent also in electronic form defined by Euronext Athens, to the following email dfs - reporting@athexgroup.gr, while the particular email may be used for submitting questions concerning the reporting procedure and the reporting forms. The reporting forms must always be duly signed by the legal representative of the Vendor/Subvendor/Member.
8. Exceptionally, the reporting form v-01 "Vendor/Subvendor/Member's report for information/change of the agreement data" shall be submitted to Euronext Athens by the Vendor/Subvendor/Member before the signing of the present agreement and every time any change of such data takes place.
9. In the electronic Form V-03 "Report of Devices / Subscribers / Quotes /" provided by Euronext Athens in electronic form, there is a table for the entry of detailed data per corporate client (name, address, real or delayed time distribution). This form shall be deemed to be a true statement for the

VENDOR/SUBVENDOR/MEMBER'S activity described in it as well as unreserved acceptance of the quarterly variable fees appearing on this form.


10. The reporting forms are described in chapter 2 of the present Annex.

## 2. REPORTING FORMS

### 2.1 FORM V-01 "VENDOR/SUBVENDOR/MEMBER'S REPORT FOR INFORMATION/CHANGE OF THE AGREEMENT DATA"

The form "Vendor/Subvendor/Member's report for information/change of the Agreement data" includes the following company's details:

- Corporate Name
- Head office
- Legal Representation
- Activity
- Premises for the supply of the Information by Euronext Athens

 <p><b>Vendor/Sub vendor's report for information/change of the Agreement data</b></p> <p><b>COMPANY NAME &amp; PREMISES</b></p> <p>COMPANY NAME: _____</p> <p>COMPANY HEADQUARTERS _____</p> <p>ADDRESS: _____ NUMBER: _____</p> <p>CITY: _____</p> <p>COUNTRY: _____</p> <p><b>LEGAL REPRESENTATION (SIGNATORY)</b></p> <p>FULL NAME: _____</p> <p>POSITION: _____</p> <p>E-MAIL: _____</p> <p>PHONE: _____</p> <p>POSTAL ADDRESS: _____</p> <p><b>INFORMATION PRODUCT TABLES</b></p> <p>PLEASE INSERT "X" IN THE CORRESPONDING BOX</p> <table border="1"> <thead> <tr> <th></th> <th colspan="2">Changes</th> </tr> <tr> <th></th> <th>Include</th> <th>Exclude</th> </tr> </thead> <tbody> <tr> <td><b>EURONEXT ATHENS SECURITIES INFORMATION PRODUCTS</b></td> <td></td> <td></td> </tr> <tr> <td>EURONEXT ATHENS SECURITIES MARKET LEVEL 1 – 1880 (POST TRADE INCLUDED)</td> <td></td> <td></td> </tr> <tr> <td>EURONEXT ATHENS SECURITIES MARKET LEVEL 2 – 5880 (LEVEL 1 INCLUDED)</td> <td></td> <td></td> </tr> <tr> <td>EURONEXT ATHENS &amp; CSE SECURITIES MARKET LEVEL 3 – 10880 (LEVEL 2 INCLUDED)</td> <td></td> <td></td> </tr> </tbody> </table> <p>Vendor/Sub vendor's report for information/change of the Agreement data 1</p>		Changes			Include	Exclude	<b>EURONEXT ATHENS SECURITIES INFORMATION PRODUCTS</b>			EURONEXT ATHENS SECURITIES MARKET LEVEL 1 – 1880 (POST TRADE INCLUDED)			EURONEXT ATHENS SECURITIES MARKET LEVEL 2 – 5880 (LEVEL 1 INCLUDED)			EURONEXT ATHENS & CSE SECURITIES MARKET LEVEL 3 – 10880 (LEVEL 2 INCLUDED)			 <p>EURONEXT ATHENS SECURITIES MARKET - FULL ORDER DEPTH (LEVEL 3 INCLUDED)</p> <p>EURONEXT ATHENS RSS NEWS FEED _____</p> <p><b>EURONEXT ATHENS DERIVATIVES INFORMATION PRODUCTS</b> Include Exclude</p> <p>EURONEXT ATHENS DERIVATIVES MARKET LEVEL 1 – 1880</p> <p>EURONEXT ATHENS DERIVATIVES MARKET LEVEL 2 – 5880 (1880 INCLUDED)</p> <p>EURONEXT ATHENS DERIVATIVES MARKET LEVEL 3 – 10880 (5880 INCLUDED)</p> <p>EURONEXT ATHENS DERIVATIVES MARKET - FULL ORDER DEPTH (LEVEL 3 INCLUDED)</p> <p><b>CYPRUS (CSE) SECURITIES INFORMATION PRODUCTS</b> Include Exclude</p> <p>CYPRUS SECURITIES MARKET LEVEL 1 – 1880 (POST TRADE INCLUDED)</p> <p>CYPRUS SECURITIES MARKET LEVEL 2 – 5880 (LEVEL 1 INCLUDED)</p> <p>CYPRUS SECURITIES MARKET LEVEL 3 – 10880 (LEVEL 2 INCLUDED)</p> <p>CYPRUS SECURITIES MARKET - FULL ORDER DEPTH (LEVEL 3 INCLUDED)</p> <p><b>ENERGY EXCHANGE (ENEX)</b> Include Exclude</p> <p>ENEX DERIVATIVES _____</p> <p><b>INDICES</b> Include Exclude</p> <p>FTSE/ATHEX INDICES _____</p> <p>Vendor/Sub vendor's report for information/change of the Agreement data 2</p>	 <p><b>CONNECTIVITY</b> Include Exclude</p> <p>MDFS TCP _____</p> <p>MDFS MULTICAST _____</p> <p>MDFS MULTICAST &amp; TCP _____</p> <p><b>EURONEXT ATHENS NON-DISPLAY DATA CATEGORY - EURONEXT ATHENS SECURITIES &amp; DERIVATIVES MARKET</b></p> <p>PLEASE INSERT NUMBER OF USE CASES IN CATEGORY 1 &amp; "X" IN CATEGORIES 2-4, WHERE APPLICABLE</p> <table border="1"> <thead> <tr> <th></th> <th>Include</th> <th>Exclude</th> </tr> </thead> <tbody> <tr> <td>CATEGORY 1: TRADING PLATFORMS (USE CASES: RM, MTF, OTF, ATS, SJ, CFD, DARK POOL, CROSSING NETWORKS) (CHANGED PER USE CASE, PLEASE INSERT THE NUMBER OF USE CASES)</td> <td></td> <td></td> </tr> <tr> <td>CATEGORY 2: TRADING ACTIVITIES (PROPRIETARY AND / OR AGENT TRADING)</td> <td></td> <td></td> </tr> <tr> <td>CATEGORY 3: INDICES &amp; BENCHMARKS (INDICES, BENCHMARKS CALCULATION &amp; DISSEMINATION)</td> <td></td> <td></td> </tr> <tr> <td>CATEGORY 4: OTHER DERIVED DATA (FUND MANAGEMENT, WEALTH MANAGEMENT, ASSET MANAGEMENT, ETC., INAV AND ALL OTHER NONDERIVED DATA CASES NOT INCLUDED IN ABOVE CATEGORIES 1 – 3)</td> <td></td> <td></td> </tr> </tbody> </table> <p><b>NON-DISPLAY USAGE - CSE SECURITIES MARKET (CYPRUS)</b> Include Exclude</p> <p>INTERNAL REDISTRIBUTION _____</p> <p>EXTERNAL REDISTRIBUTION _____ <input type="checkbox"/></p> <p>Activation Date of the above changes: _____</p> <p>Signing Date: _____ The declaring counterpart _____</p> <p>Vendor/Sub vendor's report for information/change of the Agreement data 3</p>		Include	Exclude	CATEGORY 1: TRADING PLATFORMS (USE CASES: RM, MTF, OTF, ATS, SJ, CFD, DARK POOL, CROSSING NETWORKS) (CHANGED PER USE CASE, PLEASE INSERT THE NUMBER OF USE CASES)			CATEGORY 2: TRADING ACTIVITIES (PROPRIETARY AND / OR AGENT TRADING)			CATEGORY 3: INDICES & BENCHMARKS (INDICES, BENCHMARKS CALCULATION & DISSEMINATION)			CATEGORY 4: OTHER DERIVED DATA (FUND MANAGEMENT, WEALTH MANAGEMENT, ASSET MANAGEMENT, ETC., INAV AND ALL OTHER NONDERIVED DATA CASES NOT INCLUDED IN ABOVE CATEGORIES 1 – 3)		
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## **2.2 FORM V-02 “REPORT FOR CORPORATE CLIENTS RECEIVING SPECIAL SERVICES & SUBVENDORS”**

The form “Report For Corporate Clients Receiving Special Services & Subvendors” includes the following details of the Vendor/Subvendor’s corporate clients and Subvendors:

- CORPORATE CLIENT’S NAME
- CORPORATE CLIENT’S HEAD OFFICE AND POSTAL ADDRESS
- SUBVENDORS THAT RECEIVE THE INFORMATION IN REAL TIME FROM THE VENDOR (NAME AND POSTAL ADDRESS)
- SPECIAL SERVICES RECEIVED PER CORPORATE CLIENT
- CORPORATE CLIENT’S WEBSITE OR TV CHANNEL RECEIVING THE INFORMATION BY THE COUNTER PARTY
- COMMENCEMENT/TERMINATION DATE OF CO-OPERATION WITH A CORPORATE CLIENT OR SUBVENDOR

The Special Services that may be declared by the VENDOR/SUBVENDOR are only the following:

- Internet Ticker (Level 1)
- TV Ticker (Level 1)
- Indices outside Internet Ticker
- Listed Company’s website
- Non-Display Data Internal redistribution / Per corporate client
- Non-Display Data External redistribution / Per corporate client

*(see next page)*


**QUARTERLY REPORT FORM OF THE ATHEX INFORMATION PRODUCTS**

V-03-02

English



Date

Full Name / Signature / Seal

SPECIAL SERVICES REPORTING DATA	Count	Total Value
<b>Special Service Category: INTERNET SITE</b>		
ATHEX Securities Market - Internet Ticker (Level 1)		
ATHEX Derivatives Market - Internet Ticker (Level 1)		
ATHEX Securities Market - Indices outside Internet Ticker		
FTSE / ATHEX Indices - Internet Ticker (Level 1)		
FTSE / ATHEX Indices outside Internet Ticker		
CSE Securities Market - Internet Ticker (Level 1)		
CSE Securities Market - Indices outside Internet Ticker		
<b>Special Service Category: TV STATION</b>		
ATHEX Securities Market - TV Ticker (Level 1)		
ATHEX Derivatives Market - TV Ticker (Level 1)		
ATHEX Securities Market - Indices outside TV Ticker		
FTSE / ATHEX Indices - TV Ticker (Level 1)		
FTSE / ATHEX Indices outside TV Ticker		
CSE Securities Market - TV Ticker (Level 1)		
CSE Securities Market - Indices outside TV Ticker		
<b>Special Service Category: LISTED COMPANY'S WEB SITE</b>		
ATHEX - Listed Company's website displaying its own stock info		
CSE - Listed Company's website displaying its own stock info		
<b>Special Service Category: NON DISPLAY - DATA</b>		
Non Disp. Data - Internal redistribution / corp. client (ATHEX)		
Non Disp. Data - External redistribution / corp. client (ATHEX)		
Non Disp. Data - Internal redistribution / corp. client (CSE)		
Non Disp. Data - External redistribution / corp. client (CSE)		
<b>Special Service Category: NEWS FEED</b>		
RSS News Feed		

"We declare in full responsibility that all data included in this report are accurate and correct in accordance with the specific stipulations of the Vendor's Agreement we have signed with ATHEX and that we unreservedly accept our invoicing with the respective amounts appearing on this form."

**Net Value:**  
 V.A.T.  
**Total:**

Date

Full Name / Signature / Seal

### **2.3 FORM V-03 "REPORT OF DEVICES/SUBSCRIBERS/QUOTES/GROSS INCOME"**

The Form "Report Of Devices/Subscribers/Quotes/Gross Income includes the Vendor/Subvendor's activity data.

The total number of devices/subscribers, quotes, and gross income for all information products and levels on a monthly basis:

- DEVICES/SUBSCRIBERS (INCLUDING SUBSCRIBERS OF CORPORATE CLIENTS)
- MOBILES/PAGERS
- QUOTES
- NON-PROFESSIONAL SUBSCRIBERS

*(see next page)*


**QUARTERLY REPORT FORM OF THE ATHEX INFORMATION PRODUCTS**

V43-02

English

**COMPANY/INVOICE DETAILS**

 Customer Code: \_\_\_\_\_ Name: \_\_\_\_\_  
 Address: \_\_\_\_\_ Tax number: \_\_\_\_\_ TAX Authority: \_\_\_\_\_

The primary form should be sent to:

**ATHENS EXCHANGE S.A.**

 Attention to: Mr. Pavlos Vrettos, ATHEX Data Feed Services / Market Operation & Member Support Division  
 Athinas Avenue 110, Postal code: 10442, Athens e-mail: [OPS.SERVICE@ATHEX.GR](mailto:OPS.SERVICE@ATHEX.GR)

 Period of report: Year: **2014** Trimester: **3**


ATHEX INFORMATION PRODUCT	REPORT FORM			PRO-INVOICE (€)			
	JUL	AUG	SEP	JUL	AUG	SEP	Net Value
Reporting Category: <b>DEVICES</b>							
Subscriber Category: <b>PROFESSIONAL SUBSCRIBERS</b>							
ATHEX SECURITIES	FULL ORDER DEPTH						
	LEVEL 2 (SBO)						
	LEVEL 1 (SBO)						
	MPD POST TRADE						
ATHEX INDEXES	FTSEATHX INDEXES						
	FTSEATHX INDEXES						
ATHEX & CGS	LEVEL 2 (SBO)						
	FULL ORDER DEPTH						
	LEVEL 2 (SBO)						
	LEVEL 1 (SBO)						
CGS SECURITIES	MPD POST TRADE						
	FULL ORDER DEPTH						
	LEVEL 2 (SBO)						
ATHEX ODM	LEVEL 2 (SBO)						
	LEVEL 1 (SBO)						
	LEVEL 1 (SBO)						
SECS	SECS-FULL						
Subscriber Category: <b>NON PROFESSIONAL SUBSCRIBERS</b>							
ATHEX SECURITIES	LEVEL 2 (SBO)						
	LEVEL 1 (SBO)						
	MPD POST TRADE						
	ATHEX INDEXES						
CGS SECURITIES	FTSEATHX						
	LEVEL 1 (SBO)						
ATHEX ODM	MPD POST TRADE						
	LEVEL 1 (SBO)						
Reporting Category: <b>MOBILES - Pagers</b>							
Subscriber Category: <b>PROFESSIONAL SUBSCRIBERS</b>							
ATHEX SECURITIES	LEVEL 2 (SBO)						
	LEVEL 1 (SBO)						
	MPD POST TRADE						
	ATHEX INDEXES						
CGS SECURITIES	FTSEATHX						
	LEVEL 2 (SBO)						
ATHEX ODM	LEVEL 1 (SBO)						
	LEVEL 1 (SBO)						
Subscriber Category: <b>NON PROFESSIONAL SUBSCRIBERS</b>							
ATHEX SECURITIES	LEVEL 1 (SBO)						
	MPD POST TRADE						
	ATHEX INDEXES						
	FTSEATHX						
CGS SECURITIES	LEVEL 1 (SBO)						
	MPD POST TRADE						
ATHEX ODM	LEVEL 1 (SBO)						
	LEVEL 1 (SBO)						
Reporting Category: <b>REQUESTS - QUOTES</b>							
ATHEX INDEXES, SECS & DERIVATIVES							
MPD POST TRADE							
FTSEATHX							
CGS SECS							

"We declare in full responsibility that all data included in this report are accurate and correct in accordance with the specific stipulations of the Vendor's Agreements we have signed with ATHEX and that we unreservedly accept our liability involving with the respective amounts appearing on this form."

Net Value:  
 V.A.T.  
 Total:

Date: \_\_\_\_\_ Full Name / Signature / Seal: \_\_\_\_\_

## 2.4 FORM V-04 – REPORT FORM FOR NON-DISPLAY DATA USAGE



### REPORT FORM FOR NON-DISPLAY DATA USAGE

Version: 1.0 - V-04

**Name of the Vendor / sub vendor that redistributes the information to a corporate client for non-display data usage**

Name: \_\_\_\_\_

**Details of the corporate client that makes the non-display data usage**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Country: \_\_\_\_\_

Corporate Web Site: \_\_\_\_\_

**Corporate clients contact person details:**

Full Name: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

**"Non-Display Data" starting date:**

"Non-Display Data" type:	Total number of non-display services
Internal use: _____	
External use: _____	


Date \_\_\_\_\_

The declaring counterpart  
(Signature – Company Seal)

REPORT FORM FOR NON-DISPLAY DATA USAGE

1

## 2.5 FORM V-05 - VENDOR/SUBVENDOR CONTACT PERSONS




### VENDOR / SUBVENDOR CONTACT PERSONS

Version: 1.0 - V-05

For administrative - business matters:		For technical matters:	
Full Name:	<input type="text"/>	Full Name:	<input type="text"/>
Post:	<input type="text"/>	Post:	<input type="text"/>
Email:	<input type="text"/>	Email:	<input type="text"/>
Tel.:	<input type="text"/>	Tel.:	<input type="text"/>
Fax No:	<input type="text"/>	Fax No:	<input type="text"/>
Address:	<input type="text"/>	Address:	<input type="text"/>
For reporting:		For payments:	
Full Name:	<input type="text"/>	Full Name:	<input type="text"/>
Post:	<input type="text"/>	Post:	<input type="text"/>
Email:	<input type="text"/>	Email:	<input type="text"/>
Tel.:	<input type="text"/>	Tel.:	<input type="text"/>
Fax No:	<input type="text"/>	Fax No:	<input type="text"/>
Address:	<input type="text"/>	Address:	<input type="text"/>
Invoice details:			
Postal address:	<input type="text"/>		
Company's name:	<input type="text"/>		
Registered Office:	<input type="text"/>		
Tax Number:	<input type="text"/>		
For receiving reports about corporate acts:		For notices and services of judicial and non-judicial documents with regard to:	
Full Name:	<input type="text"/>	Full Name:	<input type="text"/>
Post:	<input type="text"/>	Post:	<input type="text"/>
Email:	<input type="text"/>	Email:	<input type="text"/>
Tel.:	<input type="text"/>	Tel.:	<input type="text"/>
Fax No:	<input type="text"/>	Fax No:	<input type="text"/>
Address:	<input type="text"/>	Address:	<input type="text"/>

VENDOR / SUBVENDOR CONTACT PERSONS 1

## 2.6 FORM V-06 - REPORT FORM FOR INTERNAL USE OF THE INFORMATION

 **EURONEXT**

### REPORT FORM FOR INTERNAL USE OF THE INFORMATION

Version: 1.0 - V-06

**Name of the Vendor / Sub vendor that redistributes the information to a corporate client internal redistribution**

Name:

**Name and premises of corporate client making internal use of the information**

Name:

Address:

Country:

Corporate website:

**Corporate clients contact persons details**

Full Name:

E-mail:

Phone no:

**Internal redistribution starting date:**

*(this form is submitted only by email)*

REPORT FORM FOR INTERNAL USE OF THE INFORMATION

1