



ΑΠΟΦΑΣΗ 10¹

«Technical issues on conversation files in the Financial Energy Market (Derivatives Market) of HEnEx»

THE HELLENIC ENERGY EXCHANGE S.A.

Having regard to the provisions of par. 1.2.11 of the Financial Energy Market Rulebook of HEnEx (here-in-after the “Rulebook”):

HAS DECIDED AS FOLLOWS

Article 1. Scope

1. This Decision defines the technical details of the installation and activation of a special system for monitoring and recording the conversations in order to facilitate HEnEx's operations. The monitoring and conversation recording files kept, shall have full force of proof between HEnEx and the aforementioned persons, counter proof being allowed.
2. The recording of the talks is carried out in accordance with the provisions of L. 4514/2018 and the authorized Regulation 2017/565.
3. In particular, the provisions of this Decision shall apply to the transaction support of Members in the event of technical malfunctions of the Members' systems or other emergency. For the implementation of this service, HEnEx uses technological means for recording telephone conversations concerning the submission of buy and sell orders on behalf of Members unable to access the Trading System.
4. The terms of this Decision have the same meaning as those given in L. 4425/2016, L. 4001/2011 or other relevant national or union legislation, the Rulebook, the Rulebook for Clearing Derivatives Transactions of ATHEXClear, including any other decisions adopted for its implementation.

Article 2. Technical Details on Conversation Recording

1. HEnEx records telephone conversations, in particular when they relate to the registration, modification or cancellation of buy and sell orders in the Trading System, taking all available

¹ Unofficial translation from the Greek language (Ref. HenEx: 422/09.04.2021), as of 09/04/2021. In case of any discrepancy between the Greek and the English version, the Greek version prevails.

security measures. These talks are recorded regardless of the economic effect they have on the Member.

2. Prior to contacting the registered telephone, the authorized body of HEnEx verifies the identity details of the calling Certified Trader.
3. HEnEx does not provide any service and in particular the service of receiving and registering, modifying or cancelling the sell or buy order in the Trading System by phone if it has not notified the Member in advance that the telephone conversation is going to be recorded.
4. A copy of the recording of the conversations and communication with the Member is available upon request, for a period of five (5) years. The information that the conversations are recorded is presented in the same language used in the provision of services through a recorded telephone call.
5. Files of recorded conversations are stored in a fixed medium, which allows them to be reproduced or copied; they are kept in a format that does not allow the original file to be modified or deleted, and they are stored in a medium that allows them to be easily accessible and available to Members upon request.
6. HEnEx must ensure the quality, accuracy and completeness of the files of all telephone conversations.
7. The telephone numbers for any contact with HEnEx are posted on HEnEx's website.

Article 3. Validity

The herein decision is valid from 14/04/2021.

The herein decision shall be uploaded to the website of HEnEx <https://www.enexgroup.gr/>.