

DECISION 9¹

"Technical issues on conversation files"

HELLENIC ENERGY EXCHANGE S.A.

Having taken into consideration the provisions of subsection 3.4.6 of the Hellenic Energy Exchange S.A. (HEnEx) Day-Ahead and Intra-Day Market Operation Rulebook (hereinafter referred to as the "Rulebook")² as applying:

DECIDES AS FOLLOWS

Article 1. Objective - Scope – Definitions

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 Participants in the event of technical malfunctions of the Participants' systems or other emergency. In order to support the Participants, HEnEx may, through its authorized bodies, offer the Trading on Behalf service. 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 Participants unable to access the Energy Trading Spot System (ETSS).
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 EnExClear Day-Ahead and Intra-Day Market Clearing Rulebook (hereinafter referred to as the "Clearing Rulebook") including any other decisions adopted for its implementation.

Article 2. Technical Details on Conversation Recording

¹ Unofficial translation from the Greek language (Ref. HenEx: 1082/13.05.2020), as of 13/05/2020. In case of any discrepancy between the Greek and the English version, the Greek version prevails

² Regulatory Authority of Energy (RAE), Decision 1116/13.11.2018 (GG 5914/31.12.2018), "Approval of the Day-Ahead and Intra-Day Market Operation Rulebook, according to the articles 9, 10 and 18 of L.4425/2016 (GG A' 185), as applying".

1. HEnEx records telephone conversations, in particular when they relate to the registration, modification or cancellation of Buy and Sell Orders in the Day-Ahead Market and in the Intra-Day Market, taking all available security measures. These talks are recorded regardless of the economic effect they have on the Participant.
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 at ETSS by phone if it has not notified the Participant in advance that the telephone conversation is to be recorded.
4. A copy of the recording of the conversations and communication with the Participant 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, 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 participants 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. Enforcement

This decision applies since 13/05/2020.

This decision is to be posted on HEnEx website www.enexgroup.gr.