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ANNEX

ANNEX

to the

COMMISSION IMPLEMENTING REGULATION (EU)

laying down minimum requirements implementing the provisions of Directive 2007/36/EC of the European Parliament and of the Council as regards shareholder identification, the transmission of information and the facilitation of the exercise of shareholders rights

ANNEX

Table 1 – Request to disclose information regarding shareholder identity

Type of Information	Description	Format	Originator of data
A. Specification of the request (separate request to be sent for each ISIN)			
1.Unique identifier of the request	Unique number specifying each disclosure request	[24 alpha numeric characters]	Issuer or third party nominated by it
2.Type of request	Type of request (<i>request to disclose shareholder identity</i>)	[4 alpha numeric characters]	Issuer or third party nominated by it
3. ISIN	Definition	[12 alpha numeric characters]	Issuer
4.Record Date	Definition	[Date (YYYYMMDD)]	Issuer
5.Issuer deadline	Definition. The Issuer deadline shall be set in compliance with Article 10 of this Regulation.	[Date (YYYYMMDD)]	Issuer
6.Threshold quantity limiting the request	If applicable. The threshold shall be expressed as an absolute number of shares (= no), or a percentage of shares or voting rights (= pc). The use of a percentage may affect the straight through processing of the request.	[Optional field. If applicable, then populated: no + 15 numeric characters Or pc + 5 numeric characters]	Issuer
7. Date from which the shares have been held	If applicable. The issuer shall indicate in its request how the initial date of shareholding is to be determined. Such request may affect the straight through processing of the request.	[Optional field. If applicable, then populated: YES]	Issuer
B. Specification regarding the recipient to whom the response must be sent			
1.Unique identifier of the recipient of the response	Unique national registration number preceded by the country code referring to the country of its registered office or LEI of issuer, or third party nominated by the issuer, issuer CSD, other intermediary or service provider, as the case may be, to whom	[20 alphanumeric characters. The country code is to be in the form of the 2 letter code as defined by ISO 3166—1 alpha-2 country code, or compatible methodology]	Issuer

	the response shall be transmitted by the intermediary.		
2. Name of the recipient of the response		[35 alphanumeric characters. Format of Table 2, field C.2(a) or (b)]	Issuer
3. Address of the recipient of the response	BIC address, secured or certified e-mail address, URL for a secure web portal or other address details that ensure the security of the transmission	[alphanumeric field]	Issuer

Table 2 – Response to a request to disclose information regarding shareholder identity

Type of information	Description	Format	Originator of data
A. Specification of the original request by issuer			
1.Unique identifier of request	See Table 1, field A.1	[24 alphanumeric characters]	Issuer or third party nominated by it
2.Unique identifier of response	Unique number identifying each response.	[24 alphanumeric characters]	Responding Intermediary
3.Type of request	See Table 1, field A.2	[4 alpha numeric characters]	Issuer or third party nominated by it
4. ISIN	See Table 1, field A.3	[12 alpha numeric characters]	Issuer
5. Record date	See Table 1, field A.4	[Date (YYYYMMDD)]	Issuer
B. Information regarding shareholding by responding intermediary			
1.Unique identifier of the responding intermediary	Unique national registration number preceded by the country code referring to the country of its registered office or LEI	[20 alphanumeric characters. The country code is to be in the form determined in Table 1, field B.1]	Responding intermediary
2. Name of the responding intermediary		[35 alphanumeric characters]	Responding intermediary
3. Total number of shares held by the responding intermediary	The total number equals the sum of the numbers given in field B.4 and B.5	[15 numeric characters with, if applicable, a decimal separator ‘.’ (full stop)]	Responding intermediary
4. Number of shares held by the responding intermediary on own account		[15 numeric characters with, if applicable, a decimal separator ‘.’ (full stop)]	Responding intermediary
5. Number of shares held by the responding intermediary on account of someone else		[15 numeric characters with, if applicable, a decimal separator ‘.’ (full stop)]	Responding intermediary
C. Information regarding shareholder identity (repeating block, to be filled in separately for each shareholder known to the responding intermediary)			
1(a). Unique identifier of shareholder in case of a legal person	1) A unique national registration number preceded by the country	[20 alphanumeric characters]	Responding intermediary

		code for its country of registration or LEI or 2) <u>where neither a LEI nor a registration number is available</u> , a Bank Identifier Code (BIC) preceded by the country code for its country of registration OR 3) or a client code, which uniquely identifies every legal entity or structure, in any jurisdiction, preceded by the country code regarding its country of registration	[11 alphanumeric characters] [50 alphanumeric characters. The country code is to be in the form determined in Table 1, field B.1	
	1(b). Unique identifier of shareholder in case of a <u>natural person</u>	The national identifier as determined in Article 6 of Commission Delegated Regulation (EU) 2017/590	[35 alphanumeric characters]	Responding intermediary
	2(a). Name of shareholder in case of a <u>legal person</u>		[35 alphanumeric characters]	Responding intermediary
	2(b) Name of shareholder in case of a <u>natural person</u>	1) First name(s) of the shareholder. In case of more than one first name, all first names shall be separated by a comma	[35 alphanumeric characters]	Responding intermediary
		2) Surname(s) of the shareholder. In case of more than one surname, all surnames shall be separated by a comma	[35 alphanumeric characters]	Responding intermediary
	3. Street address		[35 alphanumeric characters]	Responding intermediary
	4. Post code		[10 alphanumeric characters]	Responding intermediary
	5. City		[35 alphanumeric characters]	Responding intermediary
	6. Country	Country code	[2 letter country code in the form determined in Table 1, field B.1]	Responding intermediary
	7. Post code post box		[10 alphanumeric characters]	Responding intermediary
	8. Number of Post box		[10 alphanumeric characters]	Responding intermediary
	9. E-mail address		[255 alphanumeric characters]	Responding intermediary
Repeating block (repeat for the different types of shareholding or dates of shareholding)	10. Type of shareholding	Indication of type of shareholding. Select: O = shareholding on own account; N = nominee shareholding; B = beneficial shareholding; U = unknown	[1 alphanumeric character]	Responding intermediary
	11. Number of shares held by the shareholder	Number of shares held by the shareholder	[15 numeric characters with, if applicable, a decimal separator ‘.’ (full stop)	Responding intermediary

	12. Initial date of shareholding	If applicable.	[Date (YYYYMMDD)]	Responding intermediary
	13. Name of third party nominated by the shareholder	If applicable, this field shall identify the third party who is authorised to take the investment decisions on behalf of the shareholder	[Optional field. If applicable, format of fields C.2(a) or C.2(b) above].	Responding intermediary
	14. Unique identifier of third party nominated by the shareholder	If applicable, this field shall identify the third party who is authorised to take the investment decisions on behalf of the shareholder	[Optional fields. If applicable, unique identifier in the format of fields C.1(a) or C.1(b) above]	Responding intermediary

Table 3 – Meeting Notice

Pursuant to point (b) of Article 3b(1) and Article 3b(2) of Directive 2007/36/EC, where the issuer has made available to the shareholders on its website, the information concerning the convening of the general meeting presented in the standardised format of the table below, the Meeting Notice shall only contain blocks A and B, as well as the URL hyperlink to the website where the complete table can be found.

Type of information	Description	Format	Originator of data
A. Specification of the message			
1. Unique identifier of the event	Unique number	[alphanumeric field]	Issuer or third party nominated by it
2. Type of message	The type of message (such as meeting notice, cancellation or update to it)	[4 alphanumeric characters]	Issuer or third party nominated by it
B. Specification of the issuer			
1. ISIN	Definition. ISIN of the share for which the notice is launched Repeating field: in case of multiple classes, indicate all ISIN's	[12 alpha numeric characters]	Issuer
2. Name of issuer		[35 alphanumeric characters]	Issuer
C. Specification of the meeting			
1. Date of the General Meeting		[Date (YYYYMMDD)]	Issuer
2. Time of the General Meeting	Specification of the time of the commencement of the General Meeting, including applicable time zone	[UTC (Coordinated Universal Time)]	Issuer
3. Type of General Meeting	Specification of the type of the General Meeting convened	[4 alphanumeric characters]	Issuer
4. Location of the General Meeting	Specification of the address of the venue of the General Meeting, including the URL of the virtual venue, if applicable. In case of multiple venues, the location shall be	[255 alphanumeric characters]	Issuer

	specified by each venue		
5. Record Date	Definition	[Date (YYYYMMDD)]	Issuer
6. Uniform Resource Locator (URL)	URL hyperlink to the website where full information required to be provided to shareholders prior to the General Meeting is accessible, including procedures for participation and voting and exercise of other shareholders rights, such as putting items on the agenda	[225 alphanumeric characters]	Issuer
D. Participation in the general meeting			
1. List of method of participation by shareholder	Repeating field, to be repeated for each available alternative methods of participation, such as: VI = virtual participation; PH = participation in person; PX = participation through proxy; EV = voting by correspondence. Any other available modality should also be indicated in a standardized manner	[2 alphanumeric characters]	Issuer
2. Issuer deadline for the notification of participation	Last day for the shareholder to notify the issuer per each method of participation. In case of multiple deadlines for each method, the deadline shall be specified for each method of participation	[Date (YYYYMMDD)]	Issuer
3. Issuer deadline for voting	Last day to submit the votes by the shareholder to the issuer per each means of voting, to the extent applicable	[Date (YYYYMMDD)]	Issuer
E. Agenda – (repeating block; to be specified for each agenda item)			
1. Unique identifier of the agenda item	Unique number	[4 alphanumeric characters]	Issuer
2. Title of the agenda item	Heading or brief summary or heading of the agenda item	[100 alphanumeric characters]	Issuer
3. Reference to materials pertaining to the agenda item	Clear numeric reference to the relevant agenda item to which the additional materials pertain, including the URL to where it is available	[4 alphanumeric characters]	Issuer
4. Alternative voting options for the shareholder under each resolution	If applicable. Specification of all alternative voting options available for the shareholder, taking into account the divergent types of resolutions	[If populated: 100 alphanumeric characters]	Issuer

	If the agenda item is not subject to vote, the field is to be left unpopulated		
F. Specification of the deadlines regarding the exercise of other shareholders rights (repeating block; to be specified for each existing deadline)			
1. Object of deadline	Specification of the shareholders right for which the deadline applies (such as tabling draft resolutions or putting items on the agenda)	[100 alphanumeric characters]	Issuer
2. Applicable issuer deadline	Specification of the deadline related to the exercise of the shareholders right specified in the field above	[Date (YYYYMMDD)]	Issuer

Table 4 – Confirmation of Entitlement

Type of information	Description	Format	Originator of data
A. Specification of the general meeting and the message			
1.Unique identifier of the confirmation	Unique number	[12 alphanumeric characters]	Intermediary
2.Unique identifier of the event	Unique identifier of the of general meeting as set by the issuer or third party nominated by it	[4 alphanumeric characters]	issuer or third party nominated by it
3.Type of message	The type of message (confirmation of entitlement)	[4 alphanumeric characters]	Intermediary
4. ISIN	Definition	[12 alpha numeric characters]	Intermediary
B. Specification of the entitled position in shares (repeating block; to be presented for each legal or natural person, as the case may be)			
1.Record Date	Definition	[Date (YYYYMMDD)]	Issuer
2. Entitled position	Definition	[24 numeric characters]	Intermediary
C. Specification of the securities account, applicable in the case where the confirmation is transmitted along the chain of intermediaries or where the account information is relevant for the confirmation; (to be presented by each account holder and ISIN)			
1.Number of the securities account		[20 alphanumeric characters]	Intermediary
2. Name of account holder		[35 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Intermediary
D. Specification about the shareholder, legal or natural person, as the case may be (applicable in the case where the entitled position is confirmed by the last intermediary - either to be transmitted to the issuer, or given to the shareholder)			
1.Name of shareholder	For a legal or natural person.	[Format of Table 2, field C.2(a) or C.2(b)]	Last Intermediary
2.Unique identifier of shareholder	For legal or natural persons	[Format of Table 2, field C,1(a) or C.1(b)]	Last intermediary
3.Name of proxy or other third party nominated by shareholder	If applicable	[Format of Table 2, field C.2(a) or C.2(b)]	Last intermediary or shareholder

4.Unique identifier of proxy or other third party nominated by shareholder	If applicable	[Format of Table 2, field C.1(a) or C.1(b)]	Last intermediary or shareholder
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Table 5 – Notice of Participation

Type of information	Description	Format	Originator of data
A. Specification of the notice			
1.Unique identifier of the notice of participation	Unique identifier	[alphanumeric field]	Last intermediary
2.Type of message	Specification of the type of message	[4 alphanumeric characters]	Last intermediary
3.Unique identifier of the event	Unique identifier of the of general meeting as set by the issuer or third party nominated by it	[4 alphanumeric characters]	issuer or third party nominated by it
4.ISIN	Definition. For each class of shares represented	[12 alpha numeric characters]	Issuer
B. Participation to be specified for each method of participation			
1.Method of participation	Specification of the method of participation by shareholder to the extent applicable. If multiple methods are deployed, each method shall be specified, compatible with the available alternatives in Table 3, section D, such as participation in person, through proxy, or electronic voting		Last intermediary or shareholder, as applicable
2.Name of shareholder		[35 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Last Intermediary, or shareholder
3.a) Unique identifier of shareholder in case of <u>a legal person</u>	1) A unique national registration number preceded by the country code for its country of registration or LEI or 2) where neither a LEI nor a registration number is available, a Bank Identifier Code (BIC) preceded by the country code for its country of registration or 3) a client code, which uniquely identifies every legal entity or structure, in any jurisdiction, preceded by the country code regarding its country of registration	[20 alphanumeric characters] [11 alphanumeric characters] [50 alphanumeric characters. The country code in the form determined in Table 1, field B.1	Last intermediary or shareholder

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3(b). Unique identifier of shareholder in case of a <u>natural person</u>	The national identifier determined in Article 6 of Commission Delegated Regulation (EU) 2017/590,	[35 alphanumeric characters]		Last intermediary or shareholder
4. Name of proxy, or other third party nominated by shareholder	If applicable	[Format of fields B.3a) or B.3b) above, to the extent applicable]		Last intermediary or shareholder
5.Unique identifier of proxy or other third party nominated by shareholder	If applicable	Format of fields B.3a) or B.3b) above, to the extent applicable		Last intermediary or shareholder
C Votes, if applicable (repeating block; to be specified per each agenda item)				
1. Agenda item	Unique identifier of the agenda item, Table 3	[Format of Table 3, field E.1]		
Repeating block, to be filled in for each voting position	2.Voting position	Indication of voting position (Table 3, alternative positions for the shareholder vote under each resolution).	[500 alphanumeric characters]	Last intermediary or shareholder
	3.Number of shares voted	Number of shares voted for the agenda point for each voting position.	[15 numeric characters with, if applicable, a decimal separator ‘.’ (full stop)]	Last intermediary or shareholder

Table 6 – Voting Receipt

Type of Information	Description	Format	Originator of data
Unique identifier of the Receipt	Unique number	[12 alphanumeric characters]	Intermediary or party providing the receipt
Type of message	Specification of type confirmation	[4 alphanumeric characters]	Intermediary
Unique identifier of event	Unique identifier of the general meeting event.	[12 alphanumeric characters]	Issuer / intermediary
ISIN	Definition. Repeating block, if applicable in case of multiple classes, indicate all ISIN's	[12 alpha numeric characters]	Issuer
Date of the general meeting		[Date (YYYYMMDD)]	Issuer
Name of the confirming party		[35 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Party providing the receipt
Name of shareholder		[35 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Intermediary or party providing the receipt
Reproduction of the votes received	Table 5, block C	[in the format of Table 5, block C]	Intermediary or party providing the receipt

Table 7 – Confirmation of the recording and counting of votes

Type of Information	Description	Format	Originator of data
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Unique identifier of the confirmation	Unique number	[12 alphanumeric characters]	Issuer /Intermediary
Type of message	Specification of type confirmation	[4 alphanumeric characters]	Issuer / intermediary
Unique identifier of event	Unique identifier of general meeting event	[12 alphanumeric characters]	Issuer / intermediary
ISIN	Definition. Repeating block, if applicable in case of multiple classes, indicate all ISIN's	[12 alphanumeric characters]	Issuer
Date of the General Meeting		[Date (YYYYMMDD)]	Issuer
Name of issuer		[35 alphanumeric characters]	Issuer
Name of shareholder		[35 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Issuer
Confirmation of the votes recorded and calculated	Table 5, block C	[in the format of Table 5, block C]	Issuer

Table 8 – Notification of corporate events other than general meetings

Pursuant to point (b) of Article 3b (1) and Article 3b(2) of Directive 2007/36/EC, where the issuer has made available to the shareholders on its website the information concerning corporate events other than general meetings comprising the information and data elements included in the table below, to the extent relevant for the corporate action, the notification of corporate events shall only contain block A, as well as the URL hyperlink to the website where the complete table can be found.

Type of Information	Description	Format	Originator of data
A. Specification of the corporate event			
1.Unique identifier of the corporate event	Unique number	[12 alphanumeric characters]	Issuer or third party nominated by it
2.Type of corporate event	Specification of the type of corporate event such as distribution of profit, reorganisation of the issuer shares	[42 alphanumeric characters]	Issuer or third party nominated by it
3.ISIN	Definition. ISIN for the underlying share	[12 alpha numeric characters]	Issuer
4.ISIN	If applicable, ISIN for the interim share or security	[12 alpha numeric characters]	Issuer
5.URL	URL hyperlink to the website where full information regarding the corporate event, to shareholders, is available	[255 alphanumeric characters]	Issuer
B. Key dates applicable to the corporate event (to be included only as applicable to the relevant corporate event)			
1.Last Participation date	Definition	[Date (YYYYMMDD)]	First Intermediary
2.Ex-Date	Definition	[Date (YYYYMMDD)]	First Intermediary
3.Record Date	Definition	[Date	Issuer

		(YYYYMMDD)]	
4.Start of the election period	Definition	[Date (YYYYMMDD)]	Issuer
5.Last day of the election period	Definition	[Date (YYYYMMDD)]	Issuer
6.Issuer deadline	Definition	[Date (YYYYMMDD)]	Issuer
7.Payment date	Definition	[Date (YYYYMMDD)]	Issuer
8.Buyer protection deadline	Definition	[Date (YYYYMMDD)]	Intermediary
C. Specification of the elections available to the shareholder (repeating block; to be presented for each ISIN, if applicable)			
Alternative options for the shareholder	Specification of the options	[100 alphanumeric characters]	Issuer