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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
<b>A. Specification of the request (separate request to be sent for each ISIN)</b>			
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. Scope of request	Specification whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries. If not, field to be left unpopulated.	[Optional field. If applicable, then populated: YES]	Issuer or third party nominated by it
4. ISIN	Definition	[12 alpha numeric characters]	Issuer
5.Record Date	Definition	[Date (YYYYMMDD) ]	Issuer
6.Issuer deadline	Definition. The Issuer deadline shall be set in accordance with Article 9 of this Regulation.	[Date (YYYYMMDD); UTC (Coordinated Universal Time)]	Issuer
7.Threshold quantity limiting the request	If applicable. The threshold shall be expressed as an absolute number of shares.	[Optional field. If applicable, then populated: 15 numeric characters ]	Issuer
8. Date from which the shares have been held	If applicable. If the issuer chooses to include in its request the date from which the shares have been held, it shall indicate in its request how this date is to be determined. Such request may affect the straight through processing of the request.	[Optional field. If applicable, then populated: YES]	Issuer
<b>B. Specification regarding the recipient to whom the response must be sent</b>			
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	[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, or compatible methodology]	Issuer

	service provider, as the case may be, to whom the response shall be transmitted by the intermediary.		
2. Name of the recipient of the response		[140 alphanumeric characters.]	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 receipt and 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
<b>A. Specification of the original request by issuer</b>			
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.4	[12 alpha numeric characters]	Issuer
5. Record date	See Table 1, field A.5	[Date (YYYYMMDD)]	Issuer
<b>B. Information regarding shareholding by responding intermediary</b>			
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		[140 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]	Responding intermediary
4. Number of shares held by the responding intermediary on own account		[15 numeric characters with, if applicable, a decimal separator]	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]	Responding intermediary
6. Unique identifier of the securities account operator	LEI of the securities account operator, i.e. the intermediary up the chain with whom the responding intermediary has a securities account	[20 alphanumeric characters]	Responding intermediary
7. Number of the	Number of the securities	[20 alphanumeric	Responding intermediary

securities account	account of the responding intermediary with the intermediary up the chain.	characters]	
<b>C. Information held by the responding intermediary regarding shareholder identity (repeating block, to be filled in separately for each shareholder known to the responding intermediary, including if applicable for the position on own account held by the responding intermediary)</b>			
1(a). Unique identifier of shareholder in case of a <u>legal person</u>	1) A unique national registration number preceded by the country 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	[20 alphanumeric characters]  [11 alphanumeric characters]  [50 alphanumeric characters.  The country code is to be in the form determined in Table 1, field B.1	Responding intermediary
1(b). Unique identifier of shareholder in case of a <u>natural person</u>	The national identifier within the meaning of 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>		[140 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	[140 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	[140 alphanumeric characters]	Responding intermediary
3. Street address		[140 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	E-mail address. If not	[255 alphanumeric	Responding intermediary

		available, this field is to be left unpopulated.	characters]	
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 with the responding intermediary	Number of shares held by the shareholder and reported by the responding intermediary	[15 numeric characters with, if applicable, a decimal separator]	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 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 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**

In accordance with point (b) of Article 3b(1) and Article 3b(2) of Directive 2007/36/EC, where the information set out in this table concerning the convening of a general meeting is available to shareholders on the issuer’s website, the Meeting Notice to be prepared by the issuer and transmitted by intermediaries shall only be required to contain blocks A, B and C, including the URL hyperlink to the website where the information can be found.

Type of information	Description	Format	Originator of data
<b>A. Specification of the message</b>			
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>B. Specification of the issuer</b>			
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		[140 alphanumeric characters]	Issuer

<b>C. Specification of the meeting</b>			
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 specified by each venue	[255 alphanumeric characters]	Issuer
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.	[255 alphanumeric characters]	Issuer
<b>D. Participation in the general meeting (repeating block; to be repeated for each available alternative method of participation)</b>			
1. Method of participation by shareholder	Method 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 and time for the shareholder to notify the issuer of its participation.	[Date (YYYYMMDD); UTC (Coordinated Universal Time)]	Issuer
3. Issuer deadline for voting	Last day and time to submit the votes by the shareholder to the issuer per method of participation, to the extent applicable.	[Date (YYYYMMDD); UTC (Coordinated Universal Time)]	Issuer
<b>E. Agenda – (repeating block; to be specified for each agenda item)</b>			
1. Unique identifier of the agenda item	Unique number	[4 alphanumeric characters]	Issuer
2. Title of the agenda	Heading or brief summary	[100 alphanumeric	Issuer

item	or heading of the agenda item	characters]	
3. Uniform Resource Locator (URL) of the materials	If applicable. Specific URL to the material pertaining to the agenda item. If there are no relevant materials, the field is to be left unpopulated.	[If populated: 255 alphanumeric characters]	Issuer
4. Vote	If applicable. Indication whether the agenda item is subject to a binding vote (BV) or an advisory vote (AV). If the agenda item is not subject to a vote, the field is to be left unpopulated.	[If populated: 2 alphanumeric characters]	Issuer
5. Alternative voting options	If applicable. Specification of all alternative voting options for the agenda item available for the shareholder such as vote in favour (VF); vote against (VA); abstention (AB); blank (BL) or other (OT). If the agenda item is not subject to vote, the field is to be left unpopulated.	[If populated: 2 alphanumeric characters]	Issuer
<b>F. Specification of the deadlines regarding the exercise of other shareholders rights (repeating block; to be specified for each existing deadline)</b>			
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); UTC (Coordinated Universal Time)]	Issuer

**Table 4 – Confirmation of Entitlement**

Type of information	Description	Format	Originator of data
<b>A. Specification of the general meeting and the message</b>			
1.Unique identifier of the confirmation	Unique number	[12 alphanumeric characters]	Last intermediary
2. Name of issuer		[140 alphanumeric characters]	Issuer
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.Type of message	The type of message (confirmation of entitlement)	[4 alphanumeric characters]	Last intermediary
5. ISIN	Definition	[12 alpha numeric characters]	Issuer
<b>B. Specification of the entitled position in shares (repeating block; to be presented for each securities account of the shareholder)</b>			
1.Record Date	Definition	[Date (YYYYMMDD)]	Issuer
2. Entitled position	Definition	[24 numeric characters]	Last intermediary
3.Number of the securities account		[20 alphanumeric characters]	Last intermediary
4. Name of account holder		[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Last intermediary
<b>C. Specification about the shareholder, legal or natural person, as the case may be</b>			
1.Name of shareholder	For legal or natural persons	[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
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

**Table 5 – Notice of Participation**

Type of information	Description	Format	Originator of data
<b>A. Specification of the notice</b>			
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.	[12 alpha numeric characters]	Issuer
<b>B. Participation to be specified for each method of participation</b>			
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,		Last intermediary or shareholder, as applicable

		through proxy, or electronic voting		
2. Name of shareholder			[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 a <u>legal person</u>	See Table 2, field C, (1)(a)		[Format of Table 2, field C, (1)(a) ]	Last intermediary or shareholder
3(b). Unique identifier of shareholder in case of a <u>natural person</u>	See Table 2, field C, (1)(b)		[Format of Table 2, field C, (1)(b)]	Last intermediary or shareholder
4. Name of proxy, or other third party nominated by shareholder	If applicable		[Optional. If populated: format of Table 2, field C.2(a) or C.2(b)]	Last intermediary or shareholder
5. Unique identifier of proxy or other third party nominated by shareholder	If applicable		[Optional. If populated: format of Table 2, field C.1(a) or C.1(b)]	Last intermediary or shareholder
<b>C Votes, if applicable (repeating block; to be specified per each agenda item)</b>				
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.	[Format of Table 3, Field E.5]	Last intermediary or shareholder
	3. Number of shares voted	Number of shares voted for the agenda point for each voting position. If the voting position applies to all shares, this field is to be left unpopulated.	[If populated: 15 numeric characters with, if applicable, a decimal separator]	Last intermediary or shareholder

**Table 6 – Voting Receipt**

Type of Information	Description	Format	Originator of data
1. Unique identifier of the Receipt	Unique number	[12 alphanumeric characters]	Intermediary or confirming party
2. Type of message	Specification of type confirmation	[4 alphanumeric characters]	Intermediary
3. Unique identifier of event	Unique identifier of the general meeting event.	[12 alphanumeric characters]	Issuer / intermediary
4. ISIN	Definition.	[12 alpha numeric characters]	Issuer
5. Date of the general meeting		[Date (YYYYMMDD)]	Issuer
6. Name of issuer		[140 alphanumeric characters]	Issuer
7. Name of the confirming party		[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Party providing the receipt
8. Name of the person that casted the vote		[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Confirming party
9. Name of shareholder		[Optional field. If applicable, then populated:	Intermediary or confirming party

		[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	
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**Table 7 – Confirmation of the recording and counting of votes**

Type of Information	Description	Format	Originator of data
1. Unique identifier of the confirmation	Unique number	[12 alphanumeric characters]	Issuer /Intermediary
2. Type of message	Specification of type confirmation	[4 alphanumeric characters]	Issuer / intermediary
3. Unique identifier of event	Unique identifier of general meeting event.	[12 alphanumeric characters]	Issuer / intermediary
4. ISIN	Definition.	[12 alphanumeric characters]	Issuer
5. Date of the General Meeting		[Date (YYYYMMDD)]	Issuer
6. Name of issuer		[140 alphanumeric characters]	Issuer
7. Name of shareholder	[Optional field, if the name of shareholder is indicated.]	[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	Issuer
8. Name of third party nominated by the shareholder	[Optional field, if the name of third party nominated by the shareholder is indicated.]	[140 alphanumeric characters. Format of Table 2, field C.2(a) or C.2(b)]	
9.Modality	Specification of the modality through which the votes that have been recorded and counted were received by the issuer, including whether this is ahead of the meeting or at the meeting.	[70 alphanumeric characters]	Issuer
10. Date and time of receipt	[Optional field, only if votes have been cast ahead of the general meeting]. Specification of the date and, where available, time on which the votes that have been recorded and counted were received.	[Date (YYYYMMDD); UTC (Coordinated Universal Time)]	Issuer
11. Unique identifier of votes	If available, unique identifier of the communication containing the votes recorded and counted by the issuer.	[12 alphanumeric characters]	Shareholder or third party nominated by the shareholder

**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 be required to contain block A, as well as the URL hyperlink to the website where the information can be found.

Type of Information	Description	Format	Originator of data
<b>A. Specification of the corporate event</b>			
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>B. Key dates applicable to the corporate event (to be included only as applicable to the relevant corporate event)</b>			
1.Last Participation date	Definition	[Date (YYYYMMDD)]	First Intermediary
2.Ex-Date	Definition	[Date (YYYYMMDD) ]	First Intermediary
3.Record Date	Definition	[Date (YYYYMMDD)]	Issuer
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); UTC (Coordinated Universal Time)]	Issuer
7.Payment date	Definition	[Date (YYYYMMDD)]	Issuer
8.Buyer protection deadline	Definition	[Date (YYYYMMDD)]	Intermediary
<b>C. Specification of the elections available to the shareholder (repeating block; to be presented for each ISIN, if applicable)</b>			
1. Alternative options for the shareholder	Specification of the options	[100 alphanumeric characters]	Issuer