

Remote Data Collection System - SITRAIN

Users' Manual

Amendment History

| Date | Version | Type of amendment |
|-------------|----------------|--|
| 28/01/2011 | 1.0 | Document creation. |
| 25/02/2011 | 1.1 | Amendment to the name of the function “Complete Online”. Amendment to the name of the section “Documentation on an event basis”. Update of images. |
| | | |

Contents Summary

| | | |
|-----|--|----|
| 1 | Introduction | 5 |
| 2 | Accessing/Exiting the System | 6 |
| 2.1 | Accessing the system | 6 |
| 2.2 | Exiting the System | 7 |
| 3 | General Functions | 8 |
| 3.1 | Complete OnLine | 9 |
| 3.2 | Send File | 9 |
| 3.3 | Check File | 10 |
| 3.4 | Send XML File | 11 |
| 3.5 | Check XML File | 11 |
| 3.6 | Search | 11 |
| 3.7 | Rectify | 14 |
| 3.8 | Copy from historical list | 14 |
| 3.9 | Report Receipt | 15 |
| 4 | List of communications issued within the home State | 16 |
| 4.1 | Available Functions | 16 |
| 4.2 | Complete Online | 16 |
| 4.3 | Search | 18 |
| 4.4 | Rectify | 18 |
| 5 | Information on provisions taken against tied agents | 19 |
| 5.1 | Available Functions | 19 |
| 5.2 | Complete Online | 19 |
| 5.3 | Search | 22 |
| 5.4 | Rectify | 23 |
| 5.5 | Copy from historical list | 23 |
| 6 | Data on tied agents’ operations | 24 |
| 6.1 | Available Functions | 24 |
| 6.2 | Send XML File | 24 |
| 6.3 | Check XML File | 24 |
| 6.4 | Search | 24 |
| 6.5 | Rectify | 24 |
| 7 | Commencement, interruption and resumption of investment service provisions | 25 |
| 7.1 | Available Functions | 25 |
| 7.2 | Complete Online | 25 |
| 7.3 | Search | 28 |
| 7.4 | Rectify | 28 |
| 7.5 | Copy from historical list | 28 |
| 8 | List of the placement agents | 29 |
| 8.1 | Available Functions | 29 |
| 8.2 | Complete Online | 29 |
| 8.3 | Send XML File | 33 |
| 8.4 | Check XML File | 33 |
| 8.5 | Search | 34 |
| 8.6 | Rectify | 34 |
| 8.7 | Copy from historical list | 34 |

Summary of Figures

| | |
|---|----|
| Figure 1 – Accessing the system..... | 6 |
| Figure 2 – Exiting the System..... | 7 |
| Figure 3 – Welcome Page | 8 |
| Figure 4 – Send File | 10 |
| Figure 5 – Example of incorrect reporting | 10 |
| Figure 6 – Search | 12 |
| Figure 7 – Search Result | 12 |
| Figure 8 – Communication Completed..... | 15 |
| Figure 9 – Heading of list of communications issued within the home State..... | 16 |
| Figure 10 – Summary of list of communications issued within the home State, without a document attached | 17 |
| Figure 11 – Document attached to list of communications issued within the home State..... | 17 |
| Figure 12 – Summary of list of communications issued within the home State with a document attached | 18 |
| Figure 13 – Heading of information on provisions taken against tied agents..... | 19 |
| Figure 14 – Summary of information on provisions taken against tied agents..... | 20 |
| Figure 15 – Add Provision | 21 |
| Figure 16 – Summary of information on provisions taken against tied agents with a provision entered..... | 22 |
| Figure 17 – Data on main tied agents’ operations | 24 |
| Figure 18 – Heading of commencement, interruption and resumption of investment service provisions | 25 |
| Figure 19 – Summary of commencement, interruption and resumption of investment service provisions | 26 |
| Figure 20 – List of Services | 26 |
| Figure 21 – Summary with services entered | 27 |
| Figure 22 – Heading of list of the placement agents..... | 29 |
| Figure 23 – Summary of list of the placement agents..... | 30 |
| Figure 24 – Entry of UCI ISIN code..... | 30 |
| Figure 25 – Summary of UCI ISIN code | 30 |
| Figure 26 – Entry of placement agent (Legal Entity) | 31 |
| Figure 27 – Entry of placement agent (Individual)..... | 31 |
| Figure 28 – Summary of UCI ISIN Code with placement agent | 32 |
| Figure 29 – Summary of list of the placement agents report | 33 |

1 Introduction

The herein document describes the use of the **Remote Data Collection System**. Access to this system is only permitted for enabled parties and stockbrokers for forwarding reports as foreseen by the **Consob** resolution no. 14015 and later updates.

The system can only be used by authorised users who have identification codes (“**Username**” and “**Password**”) issued to them by **Consob**.

In order to use the remote data collection system, a standard Internet browser is required, with no other additional component.

The minimum browser requirements are as follows:

- Mozilla Firefox 3.6.x;
- Microsoft Internet Explorer 6.x.

The document below contains a description of the methods for using the various functions for each case of reporting.

The manual is set out as follows:

- ✓ **Chapter 2 “Accessing/Exiting the system”:** Describes the system access methods.
- ✓ **Chapter 3 “General Functions”:** Describes the management modes (“*Send*”, “*Search*”, “*Display*” etc) shared by all the reports.
- ✓ **Chapter 4 and following:** Describes the management modes (“*Send*”, “*Search*”, “*Display*” etc) showed in detail in each report.

2 Accessing/Exiting the System

2.1 Accessing the system

On opening the application, the “**System Access**” page can be seen (**Figure 1**), where the identification codes (“**Username**” and “**Password**”) provided by Consob must be entered.

SUPERVISED ENTITIES

Teleraccolta System

The access to the System is allowed to authorized persons and agents of change for the submission of communications established by Resolution No. 17297.

To access the communications system it is necessary to get the access codes (username and password) issued by Consob.

In case you find some difficulties by using the communication system or if you need some informations and technical explications send requests by email to the address teleraccolta@consob.it

Login

User:

Password:

SECURITY

The communication system uses SSL protocol version 3 - 128 bit to encrypt the contents.

The minimum browser requirements for certificates with 128-bit SSL are as follows:

- Microsoft Internet Explorer 6.x;
- Mozilla Firefox 3.6.x;

Please check the browser type used and its level of encryption

Figure 1 - Accessing the system

The “**Login**” button activates the access control function and, if the parameters entered correspond to a valid system user, the Welcome page then appears (**Figure 3**), otherwise an error is reported, with the message “**Account not valid, try again...**” and it is necessary to change the identification data to access the system.

2.2 Exiting the System

By selecting the item “**Logout**” from the menu, the remote data collection system exit page then appears (**Figure 2**) .

The “**Continue**” button allows the user to exit the work session and return to the “**System Access**” page (**Figure 1**) to connect to the system with a new user.

The “**Cancel**” button allows the user to continue using the system for the current work session.

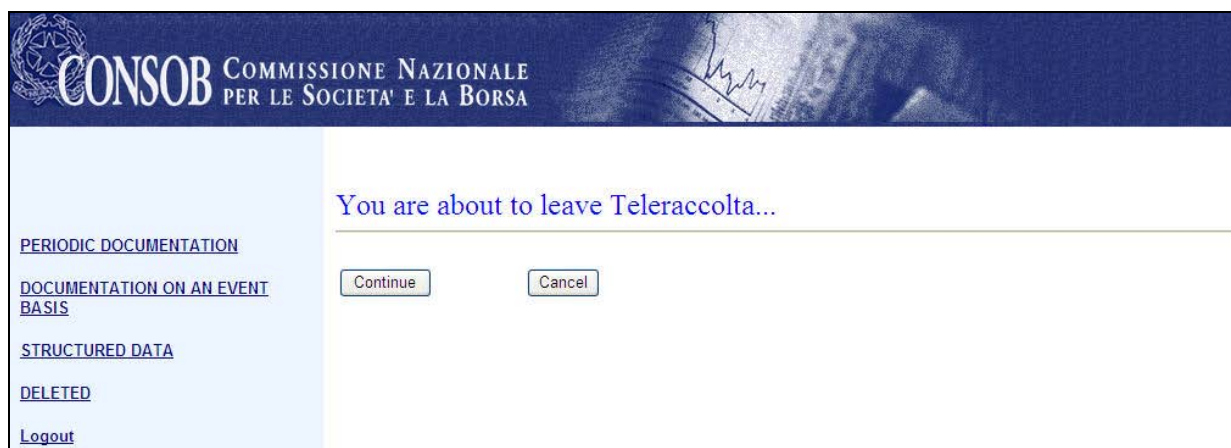


Figure 2 – Exiting the System

3 General Functions

The system's main functions are briefly described on the **Welcome Page (Figure 3)** that is organised into three frames like all the pages: The upper part contains the Consob logo; the left part contains the main menu, with links to accessible information obligations, built dynamically according to the authorisations that the connected user has been granted; the right part is the operating area where the user/system interaction pages are shown.

Warning!!

From December 7, 2007, Consob informs about errors in reports that have been sent by intermediaries, besides consulting the website dedicated to Teleracconti, also by an email message. For this purpose, it is necessary to submit an email to telemarket@consob.it, having as subject "communication e-mail address for Teleracconti" and bearing, in the body, the indication of the applicant, the email address of the intermediary and a phone number.

Please note that the submitted documents are to be drawn up according to the methods, described in Technical Annex to the Resolution n.17297.

E) Any part of the text of the electronic document, present in the corresponding paper document, is not allowed to be as an image file format, but must always be produced as a normal text.

F) Any part of the text of the electronic document, present in the corresponding paper document, must allow to be selected (and thus copied), for example, in another document, by using the appropriate functions of copy and paste. Supplied with a suitable instrument for reading the format in which the document is produced, in particular if you have chosen the PDF format, verify when you save the document that you have not activated the following option: (do not allow to) select text and images, that appears clicking the button "protection" (or the equivalent term if you are using the English version of Acrobat).

| Available Functions | |
|-----------------------------------|--|
| Complete Online: | It allows to provide Consob, via electronic models, with information concerning disclosure requirements provided for by the Resolution n.17297 and subsequent updates, as well as forwarding to Consob and obtaining the corresponding receipt. |
| Send File: | It allows to send Consob the files provided by the Reporting Agent in format described in Technical Annex. The files contain information concerning disclosure requirements provided for by the Resolution n. 17297 and subsequent updates. If the file contains formal errors (such as inconsistent types of data, incorrect or missing values compared with what Technical Annex provides for), the corresponding report is not received by Consob. It is therefore necessary to correct errors and repeat the sending. If the file is formally correct, it is forwarded to Consob and then it is possible to get the corresponding receipt. |
| Check File: | It allows to verify the formal correctness of the file to send to Consob (please refer to the previous functionality), without forwarding. The checks carried out are the same as the functionality "Send File". |
| Send XML file: | It allows to send Consob the files provided by Reporting Agent in the XML format described in Technical Annex. The files contain information concerning disclosure requirements provided for by the Resolution n. 17297 and subsequent updates. If the file contains formal errors (such as inconsistent types of data, incorrect or missing values compared with what Technical Annex provides for), the corresponding report is not received by Consob. It is therefore necessary to correct errors and repeat the sending. If the file is formally correct, it is forwarded to Consob and then it is possible to get the corresponding receipt. |
| Check XML file: | It allows to verify the formal correctness of the file to send to Consob (please refer to the previous functionality), without forwarding. The checks carried out are the same as the functionality "Send XML file". |
| Search: | It allows to select, on the basis of some parameters, and display the reports that have been sent to Consob, with the chance to print the contents and information on the transmission. |
| Rectify: | It allows to select, on the basis of some parameters, and display the reports that have been sent to Consob, with the chance to rectify the contents and information on the transmission. |
| Copy from historical list: | It allows to create a new report, starting from the contents of a report already sent, with the chance to make some changes, greatly reducing the time of compilation. Once the copy has been sent, it is possible to get the corresponding receipt of the communication. |
| Logout: | It allows to exit the current work session and return to the home page in order to connect to the system as a new user. |

Figure 3– Welcome Page

The main functions available are as follows:

- ✓ Complete Online;
- ✓ Send File;
- ✓ Check File;
- ✓ Send XML File;
- ✓ Check XML File;
- ✓ Search;
- ✓ Rectify;

- ✓ Copy from historical list.

General Notes

The following graphic symbols are used in the description of the system:

- ✓ An asterisk next to the field indicates that the field is mandatory;
- ✓ A red triangle next to the field indicates that the system has found a formal error in the field (e.g. syntax error, mandatory field not filled out, etc). The associated error message can be seen by passing the mouse over the triangle.

3.1 Complete OnLine

The function “*Complete Online*” allows information regarding the specific report to be entered (using electronic models that reproduce the paper statements described by the attachments to Resolution 14015). It is also possible to forward the information to **CO.N.SO.B.** and obtain the relative receipt.

Please refer to the specific chapters on reports for detailed information on these functions.

3.2 Send File

The function “*Send File*”, which is only available for structured reports, allows a file containing information about a specific report to be sent to **CO.N.SO.B.** and the relative communication receipt to be received¹.

By selecting the menu item “*Send File*”, the page “*Send File*” (**Figure 4**) is then displayed, from where it is possible (“*Browse*” button) to select the file contained on one’s own workstation and then send it (“*Send File*” button) to **CO.N.SO.B.**

¹ This function is equivalent to the “Complete Online” one.



Figure 4 – Send File

If the file contains formal errors (such as inconsistencies in the types of data, incorrect or missing values compared to what is set out in Resolution 14015), an error page appears (**Figure 5**) and the relative report is not sent to **CO.N.SO.B.** It is therefore necessary to correct these errors and repeat sending.

| The report contains the following errors | | | | | | | | | | | | |
|--|---------|-------------|----|----------|----------|--------------|---|----------|------|----|------|-----------------------|
| 11 | IDSEGN1 | | | | | | | | | | | |
| 12 | IDMAND1 | OTCH | SI | SI | SI | SI | R | 20031006 | | | | |
| 13 | CONTR1 | NEGOZIATORE | | 20031006 | | | | | | | | |
| 30 | SOC111 | CONSOB | CS | SFA | 19990101 | 111111111111 | | 3030 | 2525 | RM | ROMA | VIA G.B.MARTINI 00100 |

Figure 5– Example of incorrect reporting

3.3 Check File

The function “*Check file*” allows the formal correctness of the file to be sent to **CO.N.SO.B.** to be checked without proceeding with sending it.

The checks carried out are the same as the ones used in the “*Send File*” function. If the file is found to be formally correct, the message “**The file is correctly formatted**” appears.

Operational modes are similar to the ones described for the “**Send File**” function.

3.4 Send XML File

The function “*Send XML File*”, which is only available for structured reports, allows a file containing information about a specific report to be sent to **CO.N.SO.B.** and the relative communication receipt to be received².

By selecting the menu item “*Send XML File*”, the page “*Send XML File*” is then displayed, from where it is possible (“*Browse*” button) to select the file contained on one’s own workstation and then send it (“*Send File*” button) to **CO.N.SO.B.**

If the file contains formal errors (such as inconsistencies in the types of data, incorrect or missing values compared to what is set out in Resolution 14015), an error page appears and the relative report is not sent to **CO.N.SO.B.** It is therefore necessary to correct these errors and repeat sending.

3.5 Check XML File

The function “*Check XML File*” allows the formal correctness of the file to be sent to **CO.N.SO.B.** to be checked without proceeding with sending it.

The checks carried out are the same as the ones used in the “*Send XML File*” function. If the file is found to be formally correct, the message “**The file is correctly formatted**” appears.

Operational modes are similar to the ones described for the “**Send XML File**” function.

3.6 Search

The “Search” function works to select (based on some parameters) and then view the reports sent to **CO.N.SO.B.** with the possibility of printing the contents and transmission information.

By selecting the menu item “Search”, the search page appears (Figure 6), where it is possible to select the reports according to the following optional parameters:

- ✓ Period of sending report;
- ✓ Communication mode: Complete the web form [**on-line**] or sending the file [**upload**].

²This function is equivalent to the “*Complete OnLine*” one.

SEARCH

Search Parameters:

FROM (dd/mm/yyyy):

TO (dd/mm/yyyy):

CHANNEL:

FORMWEB
UPLOAD

Figure 6 – Search

The “**Search**” button activates the search, based on the set parameters and the relative results can be seen on the “**Search Result**” page (**Figure 7**).

| Search Results | | | | | |
|-------------------------|---|--------------|---------------------|---------------------------|----------|
| | Report | Transmission | Date | Status | Result |
| Details | Information on provisions taken against financial promoters | On-Line | 09/12/2010 11:55.10 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 07/12/2010 16:39.11 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 07/12/2010 12:42.15 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 06/12/2010 16:35.56 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 03/12/2010 09:02.50 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 01/12/2010 09:36.20 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 01/12/2010 09:35.40 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 01/12/2010 09:35.01 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 01/12/2010 09:33.41 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 01/12/2010 09:25.14 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 30/11/2010 14:30.13 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 29/11/2010 17:52.47 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 29/11/2010 17:04.14 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 29/11/2010 15:59.29 | Corrected | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 29/11/2010 15:04.16 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 29/11/2010 14:57.13 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 26/11/2010 14:14.36 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 24/11/2010 13:33.45 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 22/11/2010 14:58.45 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 22/11/2010 11:31.07 | Sent | Received |
| Details | Information on provisions taken against financial promoters | On-Line | 18/11/2010 19:23.33 | Sent | Received |

Figure 7 – Search Result

The following information about the selected communications can be seen:

Link “*details*”: shows the report that has been sent.

Report: Type of information obligation;

Transmission: Complete the web form (**Online**) or sending the file (**Upload**);

Date: The date and time of receipt;

Status: This indicates whether the report has been corrected or not (If it has been corrected, it is possible to view the correction by selecting the link “*corrected*”);

Result: This indicates whether the report has been processed and the relative result. The possible values are as follows:

- ✓ **Received:** Indicates that the report has been acquired by the System;

- ✓ **Refused:** Indicates that during processing, some irregularities in the report were found (the description of the irregularities found, if present, can be seen by keeping the mouse over the red triangle next to the word “Refused”).
- ✓ **Substituted:** This is a result associated with a report corrected by the user. The word “Substituted” indicates that the system has substituted the data present in the report with the data in the relative correcting report.

3.7 Rectify

The “**Rectify**” function allows the reports sent to **CO.N.SO.B.** based on some parameters (see Search”) to be selected and then viewed, with the possibility of carrying out corrections, modifying contents and the transmission information.

By selecting the menu item “**Rectify**”, the “**Search for Rectify**” page appears, where it is possible to select the reports according to the following optional parameters:

- ✓ Period of sending report;
- ✓ Communication mode: Complete the web form [**On-line**] or sending the file [**Upload**]

The “**Search**” button activates the search, based on the set parameters and the relative results can be seen on the “**Search Result**” (Figure 7).

By selecting the “**details**” link³ it is possible to access the original report. By pressing the “**Prepare Correction**” button, the same report appears to the user in a format wherein the data can be modified for correction purposes.

N.B. It is possible to rectify one report only using the same communication mode (Online or Upload) used for the original report.

3.8 Copy from historical list

The “**Copy from historical list**” function allows the reports sent to **CO.N.SO.B.** based on some parameters (see “Search”), to be selected and then viewed, with the possibility of creating a new report starting with the contents of a previously sent report.

By selecting the menu item “**Copy from historical list**”, the “**Search for Copy from historical list**” page appears, where it is possible to select the reports according to the following optional parameters:

- ✓ Period of sending report;
- ✓ Communication mode: Complete the web form web [**On-line**] or sending the file [**Upload**]

The “**Search**” button activates the search, based on the set parameters and the relative results can be seen on the “**Search Result**” page (Figure 7).

By selecting the “**Details**” link, it is possible to view the report that is to be used as the original for the copy⁴.

³ By selecting a report which has a “Corrected” status, the original report is accessed, but without the possibility of correcting it. From here, the user has the possibility via the link “The communication has been corrected”. To see the details of the new communication, press “here” to access the correctable version and then correct the latter.

⁴ The System does not allow the automatic re-use of attachments found in the original report for the copy from historical list version. This is in order to avoid incorrect sending of documents from previous reports.

N.B. It is not possible to copy a report sent via upload: in this case, the system will send the following message “*The communication has been sent via file, therefore it cannot be copied from the historical list*”.

3.9 Report Receipt

If the report sending was successful (via the “*Complete OnLine*”, “*Send File*”, “*Rectify*” or “*Copy from historical list*” functions), the “*Communication completed*” (Figure 8) page appears, where, by selecting the “*HTML*” link, the transmission receipt is obtained, in the HTML format, on which it is possible to carry out the usual operations (view, print, save, etc), allowed by the browser.



Figure 8 – Communication Completed

4 List of communications issued within the home State

4.1 Available Functions

- ✓ Complete Online;
- ✓ Search;
- ✓ Rectify.

4.2 Complete Online

By activating this function from the menu, the system proposes the heading page, in which it is possible to enter general information about the report (**Figure 9**).

The system automatically displays the data of the Sender (Legal person) who carried out authentication.

The screenshot shows the CONSOB (Commissione Nazionale per le Società e la Borsa) website. The main heading is "List of communications issued within the home State". The form is titled "Sender (Legal person)". The left sidebar contains links: "PERIODIC DOCUMENTATION", "List of communications issued within the home State" (highlighted with a red arrow), "Complete Online", "Search", "Rectify", "DOCUMENTATION ON AN EVENT BASIS", "STRUCTURED DATA", "DELETED", and "Logout". The form fields are as follows:

| Sender (Legal person) | |
|---|---------------------------------|
| Company's Name* | THE COMPANY |
| Corporate Abbreviation | |
| Tax Code | (Mandatory for Italian Persons) |
| Date of incorporation (dd/mm/yyyy)* | 06/03/1906 |
| Chamber of Commerce's Registration Number | 111 |
| Street/area* | VICTORIA'S STREET, 525 |
| Registered office's municipality* | LONDON |
| Country* | ENGLAND |
| Administrative Reference * | ROBERT BROWN |
| Technical Reference * | PAUL WHITE |
| Legal Form* | LTD. |
| Bank Code | |
| Registration Chamber of Commerce's Province | WM |
| Postcode | 10222 |
| Registered office's province | WM |
| Telephone | 004411006113 |
| Reference Date* (dd/mm/yyyy) | 30/06/2009 |
| Reference Year* (yyyy) | 2008 |

Below the form is a "Notes" section and a "Confirm" button.

Figure 9 - Heading of list of communications issued within the home State

By selecting the “**Confirm**” button, the system carries out controls on the entered data, highlighting any errors found; in the event that the report is correct, it is saved and the summary page is then displayed (**Figure 10**).

| List of communications issued within the home State | | | |
|---|------------------------|---|------------------|
| Sender (Legal person) | | | |
| Company's Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Registration Chamber of Commerce's Province | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | +44 004411006113 |
| Administrative Reference | ROBERT BROWN | Reference Date | 30/06/2009 |
| Technical Reference | PAUL WHITE | Reference Year | 2008 |
| Notes | | | |

[Change heading](#)

List of communications issued within the home State:

Figure 10 - Summary of list of communications issued within the home State, without a document attached

It is possible to carry out the following operations from this page:

“**Change Heading**” link: allows the user to return to the report heading page (**Figure 9**) and change the previously entered data.

To send the report it is necessary to attach a document.

It is possible to select the document to be attached (“**Browse**” button), cancel the selection (“**Cancel**” button), returning to the previous page, or confirm the document entry (“**Confirm**” button) and view the summary page (**Figure 12**), containing the summary of the general information of the report and the selected document.

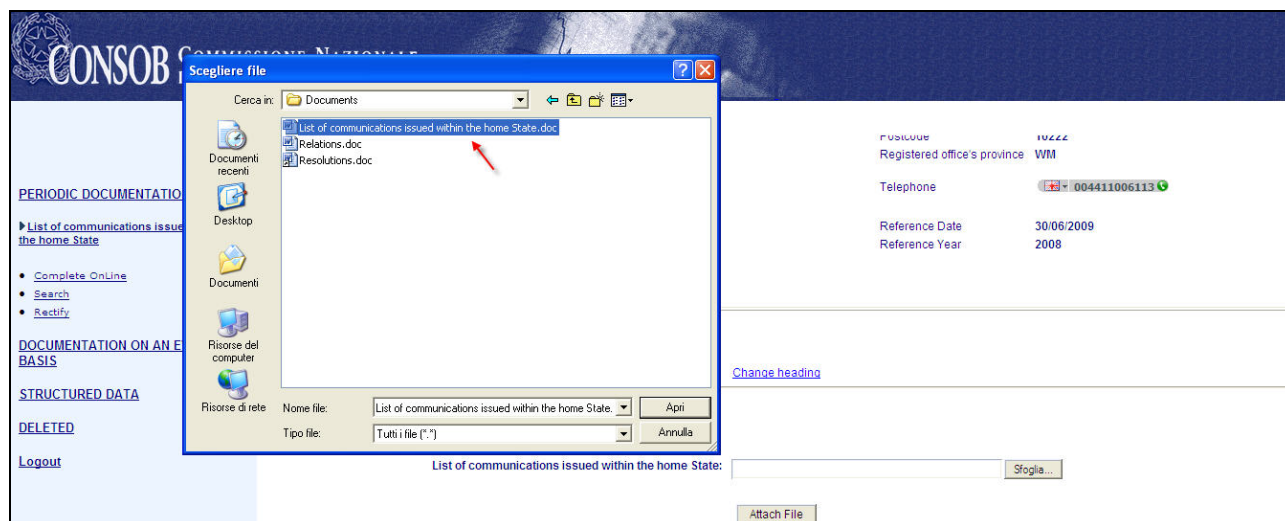


Figure 11 - Document attached to list of communications issued within the home State

In this page it is possible to:

- Attach the document, by selecting the “**Browse**” button;
- Confirm the selected attachment, by selecting the “**Attach file**” button.

After selecting this button, the system shows the summary page (**Figure 12**), containing the summary of the general information about the report and the selected document.

| List of communications issued within the home State | | | |
|---|------------------------|---|--|
| Sender (Legal person) | | | |
| Company's Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Registration Chamber of Commerce's Province | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone |  004411006113  |
| Administrative Reference | ROBERT BROWN | Reference Date | 30/06/2009 |
| Technical Reference | PAUL WHITE | Reference Year | 2008 |
| Notes | | | |
| Change heading | | | |
| <div> List of communications issued within the home State: List of communications issued within the home State.doc [Remove Attachment] </div> | | | |
| <input type="button" value="Send Report"/> | | | |

Figure 12 - Summary of list of communications issued within the home State with a document attached

It is possible to carry out the following operations on this page:

“**Remove Attachment**” link: this selection removes the relative document.

“**Change Heading**” link: allows the user to return to the heading page (**Figure 9**) and change the previously entered data.

“**Send Report**” button: sends the data shown on the summary page to Consob.

If the sending is successful, the “*Communication completed*” (**Figure 8**) page appears, where, by selecting the “*HTML*” link, the transmission receipt is obtained, in the HTML format, on which it is possible to carry out the usual operations (view, print, save, etc), allowed by the browser.

(IMPORTANT: The “**Send Report**” button only appears when the general information and document required for information obligations have been entered).

4.3 Search

- ✓ See paragraph 3.6 “Search”

4.4 Rectify

- ✓ See paragraph 3.7 “Rectify”

5 Information on provisions taken against tied agents

5.1 Available Functions

- ✓ Complete Online;
- ✓ Search;
- ✓ Rectify;
- ✓ Copy from historical list.

5.2 Complete Online

By activating this function from the menu, the system proposes the heading page, in which it is possible to enter general information about the report (**Figure 13**).

The system automatically displays the data of the Sender (Legal person) who carried out authentication.

CONSOB COMMISSIONE NAZIONALE PER LE SOCIETÀ E LA BORSA

PERIODIC DOCUMENTATION

DOCUMENTATION ON AN EVENT BASIS

STRUCTURED DATA

Information on provisions taken against financial promoters

- Complete Online
- Search
- Rectify
- Copy from historical list

Commencement, interruption and new start-up of investment service provisions

List of the the placement agents

Data on financial promoters' operations

DELETED

Logout

Information on provisions taken against financial promoters

Sender (Legal person)

| | | | |
|---|------------------------|---|---------------|
| Company's Name* | THE COMPANY | Legal Form* | LTD |
| Corporate Abbreviation | | Bank Code | |
| Tax Code | | | |
| Date of Incorporation (dd/mm/yyyy)* | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Registration Chamber of Commerce's Province | WM |
| Street name* | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's municipality* | LONDON | Registered office's province | WM |
| Country* | ENGLAND | Telephone | 0044110063113 |

Notes

Confirm

Figure 13 - Heading of information on provisions taken against tied agents

By selecting the “**Confirm**” button, the system carries out controls on the entered data, highlighting any errors found; in the event that the report is correct, it is saved and the summary page is then displayed (**Figure 14**).

| Information on provisions taken against financial promoters | | | |
|---|------------------------|--|---------------|
| Sender (Legal person) | | | |
| Company Name | THE COMPANY | Legal Form | LTD |
| Corporate Abbreviation | | Bank Code | |
| Tax Code | | | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Province of Chamber of Commerce's Registration | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | 0044110063113 |
| Notes | | | |
| No Provision has been entered yet. | | | |
| Change heading Provision Management | | | |

Figure 14 - Summary of information on provisions taken against tied agents

It is possible to carry out the following operations from this page:

“Change Heading” link: allows the user to return to the heading page (**Figure 13**) and change the previously entered data.

“Provision Management” link: this allows the user to access the page (**Figure 15**) for entering information about the tied agent and the provisions.

| Financial promoter | | | |
|---|---|---|---|
| Sender (Legal person) | | | |
| Surname* | <input type="text" value="BROWN"/> | | |
| Name* | <input type="text" value="ROBERT"/> | | |
| Postcode | <input type="text"/> (Mandatory for Italian Persons) | | |
| Place of Birth* | <input type="text" value="LONDON"/> | | |
| Date of Birth (dd/mm/yyyy)* | <input type="text" value="01/01/1970"/> | | |
| Chamber of Commerce's Registration Number | <input type="text"/> | | |
| Street/area* | <input type="text" value="25-30 BANK STREET"/> | | |
| Place of Residence* | <input type="text" value="LONDON"/> | | |
| Country* | <input type="text" value="ENGLAND"/> | | |
| Bank Code | <input type="text"/> | | |
| Province of Birth | <input type="text"/> | | |
| Gender* | <input type="text" value="M"/> | | |
| Province of Chamber of Commerce's Registration | <input type="text"/> | | |
| Postcode | <input type="text"/> | | |
| Province of Residence | <input type="text"/> | | |
| Telephone | <input type="text"/> | | |
| Information about provisions | | | |
| Irregularity Found* | | | |
| <input type="checkbox"/> | Sole agent's violations [art. 31 comma 2 TUF] | <input checked="" type="checkbox"/> | Abusive reminder [Part IV, Title II, Head I TUF] |
| <input type="checkbox"/> | Abusive exercise of the profession [art. 166 TUF] | <input type="checkbox"/> | Failure to comply with obligations by Promoters towards the Organism [art. 103 R.I.] |
| <input type="checkbox"/> | Noncompliance with limits of the activity field [art. 104 R.I.] | <input type="checkbox"/> | Acquisition of exclusive qualities or exercise of exclusive activities [art. 106 R.I.] |
| <div style="text-align: center; font-size: small;">Noncompliance with general rules of diligence, fairness and transparency [art. 107, comma 1, R.I.]</div> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Completion of inadequate operations <input type="checkbox"/> Omitted transmission of investment operations <input type="checkbox"/> Acquisition of customers' relevant amount, because of distraction too <input type="checkbox"/> Improvement of operations, not authorized by customer </div> <div style="width: 48%;"> <input type="checkbox"/> Receipt of pre-signed blank forms <input checked="" type="checkbox"/> Customer's signature forgery <input type="checkbox"/> Communication of false informations <input type="checkbox"/> Cold Calling and promotion on behalf of unqualified subject </div> </div> | | | |
| <input type="checkbox"/> | Noncompliance with right to privacy [art. 107, comma 2, R.I.] | <input type="checkbox"/> | Noncompliance with exhibition rules and with informative and identifying obligations [art. 108, commi 1,2,3 e 4 primo periodo R.I.] |
| <input type="checkbox"/> | Missed release of contracts, regulations and any other act or document to the subscribing customer, albeit yet potential [art. 108, comma 4 second period R.I.] | <input type="checkbox"/> | Acceptance of ways of payment different from the admitted terms [art. 108, comma 5, R.I.] |
| <input type="checkbox"/> | Compensations or finance funds by customers, albeit yet potential [art. 108, comma 6, R.I.] | <input type="checkbox"/> | Receipt or Use of on-line access codes to the Customers' relevant relationships [art. 107, comma 1, e 108, comma 7, R.I.] |
| <input type="checkbox"/> | Noncompliance with obligations about the conservation of the documents and about the registration of orders [art. 109 R.I.] | <input checked="" type="checkbox"/> | Noncompliance with obligations by d.lgs. n. 231/2007 |
| <input type="checkbox"/> | Other | Other (Specify): | <input type="text"/> |
| Provisions taken by the broker * | | | |
| <input type="text" value="Recall"/> | | | |
| Other (Specify): <input type="text"/> | | | |
| Suspension Commencement date (dd/mm/yyyy) | | Suspension End date (dd/mm/yyyy) | |
| <input type="text"/> | | <input type="text"/> | |
| Date of the provision taken by broker (dd/mm/yyyy)* <input type="text" value="01/01/2009"/> | | | |
| Start year of irregularities* <input type="text" value="2008"/> | | End year of irregularities* <input type="text" value="2009"/> | |
| Number of customers involved in Broker's irregularities* <input type="text" value="2"/> | | Customers' Complaint* Yes <input type="radio"/> No <input checked="" type="radio"/> | |
| Verifications with the financial promoter | | | |
| <input checked="" type="checkbox"/> Minutes of the inspection performed where the documents are preserved | | | |
| <input checked="" type="checkbox"/> Meeting Minutes | | | |
| <input type="checkbox"/> Documents acquisition | | Type of Documents acquired: <input type="text"/> | |
| Verifications with Customer | | | |
| <input checked="" type="checkbox"/> Meeting Minutes | | | |
| <input type="checkbox"/> Documents issued by Customers | | Type of Documents issued by Customers: <input type="text"/> | |
| Damage complained about by Customers* Yes <input type="radio"/> No <input checked="" type="radio"/> | | Euro entity <input type="text"/> | |
| Damage caused to customers and verified by the broker* Yes <input type="radio"/> No <input checked="" type="radio"/> | | Euro entity <input type="text"/> | |
| Compensation for damage or settlement payment for the customers from the broker* Yes <input type="radio"/> No <input checked="" type="radio"/> | | Euro entity <input type="text"/> | |
| Compensation for damage or settlement payment for the customers from the broker* Yes <input type="radio"/> No <input checked="" type="radio"/> | | Euro entity <input type="text"/> | |
| Judicial Authority's report by the broker or customers * Yes <input checked="" type="radio"/> No <input type="radio"/> | | | |
| Information requests by judicial authorities * Yes <input checked="" type="radio"/> No <input type="radio"/> | | | |
| Report by broker pursuant to the Legislative Decree nr.231/2007* Yes <input type="radio"/> No <input checked="" type="radio"/> | | | |
| <input type="button" value="Cancel"/> <input type="button" value="Confirm"/> | | | |

Figure 15 – Add Provision

It is possible to enter information about the tied agent and the provision on this page and carry out the following operations:

“**Cancel**” button: returns the user to the summary page (**Figure 14**) without making any changes to the report’s general data.

“**Confirm**” button: This checks the entered data, highlighting any errors found; if the communication is correct, it is saved and then the summary page of the provisions taken against the tied agents appears (**Figure 16**) updated with the information entered.

| Information on provisions taken against financial promoters | | | |
|---|------------------------|--|---------------|
| Sender (Legal person) | | | |
| Company Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of Incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Province of Chamber of Commerce's Registration | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | 0044110063113 |
| Notes | | | |
| Provision | | | |
| | | | |
| Change heading Provision Management | | | |
| <input type="button" value="Send Report"/> | | | |

Figure 16 – Summary of information on provisions taken against tied agents with a provision entered

It is possible to carry out the following operations on this page:

“**Change Heading**” link: allows the user to return to the “**heading**” page (**Figure 13**) and change the previously entered data.

“**Provision Management**” link: this allows the user to access the page (**Figure 15**) for entering information about the tied agent and the provisions.

“**Send Report**” button: sends the data shown on the summary page to Consob.

If the sending is successful ⁵ the “**Communication completed**” (**Figure 8**) page appears, where, by selecting the “**HTML**” link, the transmission receipt is obtained, in the HTML format, on which it is possible to carry out the usual operations (view, print, save, etc), allowed by the browser.

(IMPORTANT: The “Send Report” button only appears when the general information and document required for information obligations have been entered).

5.3 Search

✓ See paragraph 3.6 “Search”

⁵ For all the reports that so require, if the user enters an Italian subject and does not fill out the field “Tax Code”, which is mandatory for Italian persons, the system does not send the report and shows the corresponding error message.

5.4 Rectify

The “**Rectify**” function allows the reports sent to **CO.N.SO.B**, based on some parameters (see “**Search**”) to be selected and then viewed, with the possibility of carrying out corrections, modifying contents and the transmission information.

By selecting the menu item “**Rectify**”, the “**Search for Rectify**” page appears where it is possible to make the selection based on the following optional search parameters:

- ✓ Period of sending report;
- ✓ Communication mode: Filling out the web form [**On-line**] o invio file [**Upload**].

The “**Search**” button activates the search, based on the set parameters and the relative results can be seen on the “**Search Result**” page (**Figure 7**).

By selecting the “**details**”⁶ link, it is possible to access the original report. By using the “**Prepare Correction**” button, the same report shows the provision details page (**Figure 15**).

N.B. It is possible to correct one report only using the same communication mode (Online or Upload) used for the original report.

5.5 Copy from historical list

- ✓ See paragraph 3.8 “*Copy from historical list*”

⁶ By selecting a report which has a “Corrected” status, the original report is accessed, but without the possibility of correcting it. From here, the user has the possibility via the link “The communication has been corrected”. To see the details of the new communication, press “here” to access the correctable version and then correct the latter.

6 Data on tied agents' operations

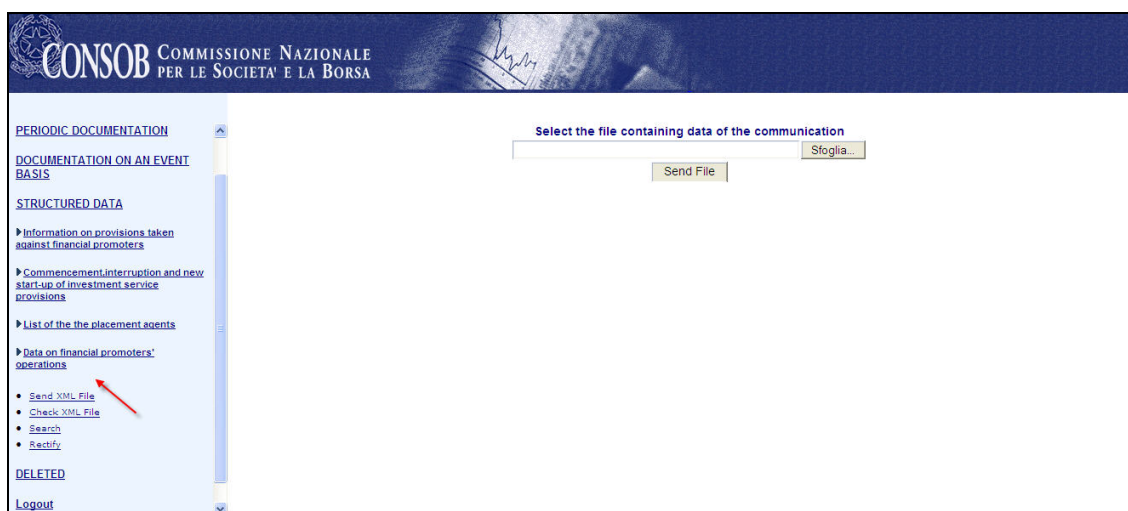


Figure 17 – Data on main tied agents' operations

6.1 Available Functions

- ✓ Send XML File;
- ✓ Check XML File;
- ✓ Search;
- ✓ Rectify.

6.2 Send XML File

- ✓ See paragraph 3.4 “*Send XML File*”

6.3 Check XML File

- ✓ See paragraph 3.5 “*Check XML File*”

6.4 Search

- ✓ See paragraph 3.6 “*Search*”

6.5 Rectify

- ✓ See paragraph 3.7 “*Rectify*”

7 Commencement, interruption and resumption of investment service provisions

7.1 Available Functions

- ✓ Complete Online;
- ✓ Search;
- ✓ Rectify;
- ✓ Copy from historical list.

7.2 Complete Online

By activating this function from the menu, the system proposes the heading page, in which it is possible to enter general information about the report (**Figure 18**).

The system automatically displays the data of the Sender (Legal person) who carried out authentication.

PERIODIC DOCUMENTATION

DOCUMENTATION ON AN EVENT BASIS

STRUCTURED DATA

- Information on provisions taken against financial promoters
- Commencement, interruption and new start-up of investment service provisions

- Complete Online
- Search
- Rectify
- Copy from historical list

List of the the placement agents

Data on financial promoters' operations

DELETED

Logout

Commencement, interruption and new start-up of investment service provisions

Sender (Legal person)

Company's Name* THE COMPANY

Corporate Abbreviation

Tax Code (Mandatory for Italian Persons)

Date of Incorporation (dd/mm/yyyy)* 05/03/1905

Chamber of Commerce's Registration Number 111

Street/area* VICTORIA'S STREET, 525

Registered office's municipality* LONDON

Country* ENGLAND

Legal Form* LTD

Bank Code

Registration Chamber of Commerce's Province WM

Postcode 10222

Registered office's province WM

Telephone 0044110063113

Notes

Confirm

Figure 18 - Heading of commencement, interruption and resumption of investment service provisions

By selecting the “**Confirm**” button, the system carries out controls on the entered data, highlighting any errors found; in the event that the report is correct, it is saved and the summary page is then displayed (**Figure 19**).

| Commencement, interruption and new start-up of investment service provisions | | | |
|--|------------------------|--|---------------|
| Sender (Legal person) | | | |
| Company Name | THE COMPANY | Legal Form | LTD |
| Corporate Abbreviation | | Bank Code | |
| Tax Code | | | |
| Date of Incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Province of Chamber of Commerce's Registration | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | 0044110063113 |
| Notes | | | |

[Change heading](#) [Services Management](#)

Figure 19 - Summary of commencement, interruption and resumption of investment service provisions

It is possible to carry out the following operations from this page:

“**Change Heading**” link: allows the user to return to the heading page (**Figure 18**) and change the previously entered data.

“**Services management**” link: Allows the user to access the “List of Services” page (Figure 20) and enter the reference dates (start date, interruption date, re-start up date) concerning services and investment activities.

NOTE: It is necessary to give a value to at least one of the services, entering a reference date (start, interruption, re-start).

| List of Services | | | |
|--------------------------------------|-------------------------|--------------------------------|----------------------------|
| Service | Start Date (dd/mm/yyyy) | Interruption Date (dd/mm/yyyy) | Re-start Date (dd/mm/yyyy) |
| Collective management | | | |
| Portfolio management | 11/10/2010 | | |
| Consultancy services for investments | 21/07/2010 | | |
| Commercialisation of UCIs | | | |
| Pension funds | 27/09/2010 | | |

Figure 20 – List of Services

The services differ depending on the types of enabled subjects, and are summarised in **Table 1**

| | |
|--|--|
| <u>Investment Companies,</u> <u>BCA, AGC, ICCS,</u> <u>IECS, IESS</u> | <ul style="list-style-type: none"> • Consultancy services for investments; • Own negotiations; • Carrying out of orders on clients' behalf; • Receipt and transmission of orders; • Management of multi-lateral negotiation systems; • Placement without firm underwriting or guarantee for issuing party; • Portfolio management; • Underwriting and/or placement with firm underwriting or with guarantee for issuing party. |
| <u>IFIN</u> | <ul style="list-style-type: none"> • Placement and cold calling; • Own negotiations; • Carrying out of orders for third parties. |

| | |
|--|--|
| <u>Saving Companies, SGCS, SGSS</u> | <ul style="list-style-type: none"> • Consultancy services for investments; • Commercialisation of UCIs; • Portfolio management; • Collective management; • Pension funds. |
| <u>SICAV</u> | <ul style="list-style-type: none"> • Commercialisation of UCIs. |

Table 1

It is possible to enter the services reference data on this page and carry out the following operations:

“Cancel” button: returns the user to the summary page (Figure 19) without making any changes to the report’s general data.

“Confirm” button: This checks the data entered, highlighting any errors found; if the communication is correct, the data is saved and then the summary page appears (Figure 21) updated with the information entered.

| Commencement, interruption and new start-up of investment service provisions | | | |
|--|------------------------|--|----------------------------------|
| Sender (Legal person) | | | |
| Company Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Province of Chamber of Commerce's Registration | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | 0044110063113 |
| Notes | | | |
| List of Services | | | |
| | Start Date | Interruption Date | Re-start Date (dd/mm/yyyy) |
| Portfolio management | 11/10/2010 | | [Remove Service] |
| Consultancy services for investments | 21/07/2010 | | [Remove Service] |
| Pension funds | 27/09/2010 | | [Remove Service] |
| Change heading Services Management | | | |
| <input type="button" value="Send Report"/> | | | |

Figure 21 - Summary with services entered

It is possible to carry out the following operations on this page:

“Change Heading” link: allows the user to return to the “heading” page (Figure 18) and change the previously entered data.

“Remove Service” link: removes the entered service.

“Services Management” link: allows the user to return to the “List of Services” page (Figure 20) and change the previously entered data.

“Send Report” button: sends the data shown on the summary page to Consob.

If the sending is successful, the “*Communication completed*” (Figure 8) page appears, where, by selecting the “HTML” link, the transmission receipt is obtained, in the HTML format, on which it is possible to carry out the usual operations (view, print, save, etc), allowed by the browser.

(IMPORTANT: The “**Send Report**” button only appears when the general information and document required for information obligations have been entered).

7.3 Search

- ✓ See paragraph 3.6 “Search”

7.4 Rectify

- ✓ See paragraph 3.7 “Rectify”

7.5 Copy from historical list

- ✓ See paragraph 3.8 “*Copy from historical list*”

8 List of the placement agents

8.1 Available Functions

- ✓ Complete Online;
- ✓ Send XML File;
- ✓ Check XML File;
- ✓ Search;
- ✓ Rectify;
- ✓ Copy from historical list.

8.2 Complete Online

By activating this function from the menu, the system proposes the heading page, in which it is possible to enter general information about the report (**Figure 22**).

The system automatically displays the data of the Sender (Legal person) who carried out authentication.

CONSOB COMMISSIONE NAZIONALE PER LE SOCIETÀ E LA BORSA

DOCUMENTATION ON AN EVENT BASIS

STRUCTURED DATA

- Information on provisions taken against financial promoters
- Commencement/interruption and new start-up of investment service provisions
- List of the the placement agents
 - Complete Online
 - Send XML File
 - Check XML File
 - Search
 - Rectify
 - Copy from historical list
- Data on financial promoters' operations

DELETED

Logout

List of the placement agents

Sender (Legal person)

Company's Name* THE COMPANY

Corporate Abbreviation

Tax Code

Date of Incorporation (dd/mm/yyyy)* 06/03/1906

Chamber of Commerce's Registration Number 111

Street/area* VICTORIA'S STREET, 525

Registered office's Municipality* LONDON

Country* ENGLAND

Legal Form* LTD

Bank Code

Registration Chamber of Commerce's Province WM

Postcode 10222

Registered office's province WM

Telephone 0044110063113

Notes

Confirm

Figure 22 - Heading of list of the placement agents

By selecting the “**Confirm**” button, the system carries out controls on the entered data, highlighting any errors found; in the event that the report is correct, it is saved and the summary page is then displayed (**Figure 23**).

| List of the placement agents | | | |
|---|------------------------|---|---------------|
| Sender (Legal person) | | | |
| Company's Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Registration Chamber of Commerce's Province | WM |
| Street/area | VICTORIA'S STREET, 525 | Postcode | 10222 |
| Registered office's Municipality | LONDON | Registered office's province | WM |
| Country | ENGLAND | Telephone | 0044110063113 |
| Notes | | | |
| No UCI ISIN has been entered yet. | | | |
| Change Heading Addition of UCI ISIN | | | |

Figure 23 - Summary of list of the placement agents

It is possible to carry out the following operations from this page:

“**Change Heading**” link: allows the user to return to the heading page (**Figure 22**) and change the previously entered data.

“**Addition of UCI ISIN**” link: This allows the user to access the “**UCI ISIN**” page (**Figure 24**) and enter the UCI ISIN code.

| UCI ISIN | |
|---|--------------|
| UCI ISIN CODE | AA3456789012 |
| <div> <input type="button" value="Cancel"/> <input type="button" value="Confirm"/> </div> | |

Figure 24 - Entry of UCI ISIN code

It is possible to carry out the following operations from this page:

“**Cancel**” button: returns the user to the summary page (Figure 23) without making changes to the report’s general data.

“**Confirm**” button: this carries out the checks on entered data, highlighting any errors found; if the communication is correct, it is saved and then the summary page appears (**Figure 25**), updated with the UCI ISIN code entered.

| UCI ISIN | |
|---|--------------|
| UCI ISIN CODE | AA3456789012 |
| Placement Data | |
| No Placement has been entered yet. | |
| Modify UCI Add Placement(Legal Entity) Add Placement (Individual) | |
| <div> <input type="button" value="Confirm"/> </div> | |

Figure 25 - Summary of UCI ISIN code

It is possible to carry out the following operations from this page:

“Modify UCI” link: allows the user to return to the heading page (**Figure 24**) and change the previously entered data about the UCI. ISIN code.

“Add Placement (Legal Entity)” Link: This link accesses the **“Placement agent”** page (**Figure 26**) where it is possible to enter the information on the legal entity placement agent.

“Add Placement (Individual)” Link: This link accesses the **“Placement agent”** page (**Figure 27**) where it is possible to enter the information on the individual placement agent.

| Placement Agent | | | |
|---|---|--|---|
| Company Name* | PLACEMENT AGENTS | | |
| Corporate Abbreviation | | Legal Form* | LTD |
| Tax Code | | Bank Code | |
| (Mandatory for Italian Persons) | | | |
| Date of incorporation (dd/mm/yyyy)* | 06/01/2007 | Province of Chamber of Commerce's Registration | WM |
| Chamber of Commerce's Registration Number | | Postcode | |
| Street/area* | 25-30 BANK STREET | Registered office's province | WM |
| Registered office's Municipality* | LONDON | Telephone | 0044 020 7102 1000 |
| Country* | ENGLAND | | |
| Placement data | | | |
| Placement Start(dd/mm/yyyy) | 21/07/2008 | Placement interruption (dd/mm/yyyy) | |
| Channels | | | |
| In offices | Yes <input checked="" type="radio"/> No <input type="radio"/> | Off site | Yes <input type="radio"/> No <input checked="" type="radio"/> |
| | | By Remote | Yes <input type="radio"/> No <input checked="" type="radio"/> |
| Extraordinary Events | | | |
| Type | Liquidation | Other (Specify) | |
| Starting date of validity (dd/mm/yyyy) | 12/07/2009 | | |
| | | Cancel | Confirm |

Figure 26 – Entry of placement agent (Legal Entity)

| Placement Agent | | | |
|---|---|--|---|
| Surname* | BROWN | | |
| Name* | ROBERT | | |
| Tax Code | | Bank Code | |
| (Obbligatorio per soggetti italiani) | | | |
| Place of Birth* | LONDON | Province of Birth | |
| Date of Birth (dd/mm/yyyy)* | 21/11/1976 | Gender* | M |
| Chamber of Commerce's Registration Number | | Province of Chamber of Commerce's Registration | |
| Street/area* | 25-30 BANK STREET | Postcode | |
| Place of Residence* | LONDON | Province of Residence | |
| Country* | ENGLAND | Telephone | |
| Placement data | | | |
| Placement Start(dd/mm/yyyy) | 01/01/2009 | Placement interruption (dd/mm/yyyy) | |
| Channels | | | |
| In offices | Yes <input type="radio"/> No <input checked="" type="radio"/> | Off site | Yes <input checked="" type="radio"/> No <input type="radio"/> |
| | | By Remote | Yes <input type="radio"/> No <input checked="" type="radio"/> |
| Extraordinary Events | | | |
| Type | Liquidation | Other (Specify) | |
| Starting date of validity (dd/mm/yyyy) | 01/01/2010 | | |
| | | Cancel | Confirm |

Figure 27 – Entry of placement agent (Individual)

It is possible to carry out the following operations from these pages:

“**Cancel**” button: allows the user to return to the summary page with the code entered (**Figure 25**).

“**Confirm**” button: this checks the data entered, highlighting any errors found; if the communication is correct, the data is saved and then the “**UCI ISIN**” summary page appears (**Figure 28**) updated with the placement agent entered.

| UCI ISIN | |
|---|--------------------------|
| UCI ISIN CODE | AA3456789012 |
| Placement Data | |
| PLACEMENT AGENTS | [Remove] |
| ROBERT.BROWN | [Remove] |
| Modify UCI Add Placement(Legal Entity) Add Placement (Individual) | |
| <input type="button" value="Confirm"/> | |

Figure 28 - Summary of UCI ISIN Code with placement agent

It is possible to carry out the following operations from this page:

“**Company Name**” link: This link accesses the “**Placement agent**” page (**Figure 26**) where it is possible to modify the information on the legal entity placement agent.

“**Name Surname**” link: This link accesses the “**Placement agent**” page (**Figure 27**) where it is possible to modify the data entered on the individual placement agent.

“**Remove**” link: removes the entered placement agent.

“**Modify UCI**” link: allows the user to return to the heading page (**Figure 24**) and change the previously entered data about the UCI. ISIN code.

“**Add Placement (legal entity)**” Link: This link accesses the “**Placement agent**” page (**Figure 26**) where it is possible to enter the information on the legal entity placement agent.

“**Add Placement (individual)**” Link: This link accesses the “**Placement agent**” page (**Figure 27**) where it is possible to enter the information on the individual placement agent.

“**Confirm**” button: this checks the data entered and then displays the report summary page (**Figure 29**), updated with the UCI ISIN code entered.

| List of the placement agents | | | |
|---|------------------------|--|---------------|
| Sender (Legal person) | | | |
| Company Name | THE COMPANY | | |
| Corporate Abbreviation | | Legal Form | LTD |
| Tax Code | | Bank Code | |
| Date of incorporation (dd/mm/yyyy) | 06/03/1906 | | |
| Chamber of Commerce's Registration Number | 111 | Province of Chamber of Commerce's Registration | WM |
| Street/area | VICTORIA'S STREET, 525 | | |
| Registered office's Municipality | LONDON | Postcode | 10222 |
| Country | ENGLAND | Registered office's province | WM |
| | | Telephone | 0044110063113 |
| Notes | | | |
| AA3456789012 [Remove] | | | |
| Change Heading Addition of UCI ISIN | | | |
| <input type="button" value="Send Report"/> | | | |

Figure 29 - Summary of list of the placement agents report

It is possible to carry out the following operations from this page:

“**UCI ISIN Code**” link: allows the user to return to the “**UCI ISIN**” page (**Figure 28**) and change the previously entered data on the UCI ISIN and placement agent entered.

“**Remove**” link: removes the UCI ISIN code entered.

“**Change Heading**” link: allows the user to return to the heading page (**Figure 22**) and change the previously entered data.

“**Addition of UCI ISIN**” link: This allows the user to access the “**UCI ISIN**” page (**Figure 24**) and enter a new UCI ISIN code.

“**Send Report**” button: sends the data shown on the summary page to Consob.

If the sending is successful, the “*Communication completed*” (**Figure 8**) page appears, where, by selecting the “**HTML**” link, the transmission receipt is obtained, in the HTML format, on which it is possible to carry out the usual operations (view, print, save, etc), allowed by the browser.

(IMPORTANT: The “**Send Report**” button only appears when the general information and document required for information obligations have been entered).

8.3 Send XML File

- ✓ See paragraph 3.4 “*Send XML File*”

8.4 Check XML File

- ✓ See paragraph 3.5 “*Check XML File*”

8.5 Search

- ✓ See paragraph 3.6 “Search”

8.6 Rectify

- ✓ See paragraph 3.7 “Rectify”

8.7 Copy from historical list

- ✓ See paragraph 3.8 “*Copy from historical list*”