



SIF BANAT-CRIȘANA

General Meeting of Shareholders convened for April 26 (27), 2018

## LIST OF DOCUMENTS FOR THE APPLICATION FILE

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- 1 Nomination for administrator office <sup>1</sup>

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  - 2 Curriculum vitae in Europass format, dated and signed; and where applicable, it is mentioned the supervisory authority for entities in which the person has activated;

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  - 3 Copy of the identity document, certified as true copy by the handwritten signature of the holder of the ID;

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  - 4 Copies of education degree documents and other relevant certificates held;

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  - 5 The questionnaire in the Annex 1 of ASF Regulation no.14 / 2015 completed and signed by the person being evaluated [Annex 1 below];

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  - 6 Affidavit, showing that he/she complies with the applicable legal requirements relating to the work that is going to perform, that he/she is not in incompatibility under the laws in force and that, where there is a such a situation, acknowledges to discontinue the situation, within 30 days from the date of his/her endorsement by ASF, submitting at the deadline the documents attesting the end of incompatibility [Annex 2 below];

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  - 7 Criminal record certificate and fiscal record certificate within the legal validity term or other equivalent document issued by competent authorities in the country where he/she has established domicile and / or residence; for persons who are resident in Romania for more than three years they have to also submit the fiscal and criminal record or other equivalent document issued by the competent authorities of the last country where he/she had previously established domicile / residence;

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  - 8 Affidavit of the person evaluated on the incidents recorded in the last 10 years, that could affect his/her reputation and integrity [Annex 3 below]

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  - 9 Statement on the quality of independent administrator [Annex 4 below]

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<sup>1</sup> pursuant to the provisions of Art. 137<sup>^</sup>1 of Law no. 31/1990, candidates for administrators' office may be nominated by current members of the Board of Directors (administrators) or by shareholders. If the nomination is made by a shareholder, he/she must provide proof of shareholder's quality, consisting of a statement issued by Depozitarul Central or an intermediary (SSIF).

## QUESTIONNAIRE

for the members of the management structure and persons holding key functions  
within regulated entities

No.	Subject/Question	Answer		Explanations				
		YES	NO					
1	Regulated entity			Name	Registered office	Type of entity		
2	Identity of the candidate (Foreign persons shall also add the date as of which they shall have / had their domicile/residence in Romania.)			Surname and first name				
CNP								
Series and number of the identity card, issuer and date of issuance								
Date and place of birth								
Citizenship								
Domicile and/or residence								
3	Function proposed (For persons with managerial duties, add the list of activities to be coordinated.)			Description of the duties and responsibilities				
4	Vocational training and relevant experience							
5	Shareholder or associate in the last 10 years			1. Individual holdings <sup>1</sup>				
Name and activity of the entity				Participation share (%)				
2. Holdings together with other persons involved or with close links <sup>2</sup>								
				Name and activity of the entity		Participation share (%)		
6	Administration or managerial responsibilities in the last 10 years other than those indicated in the CV			Name and activity of the entity	Function	Period	Responsibilities	Results
7	Business relationships with the regulated entity							
8	Assessments carried out in the last 10 years by other authorities of Romania or another state			Name of the authority		Result of the assessment (supported by documents)		

9	Conflicts with financial-banking supervisory authorities of Romania or other states, refusal of approval or sanctions of the financial-banking supervisory authorities of Romania or other states, in the last 10 years			Provide details:			
				1. Type of sanction and period of time necessary to regain reliability			
10	Sanctions imposed as a result of professional, disciplinary, administrative or judicial enquiry, investigation or procedure in the last 10 years in Romania or another state (Information shall be also provided although reliability has been regained.)			Sanctioning authority	Sanctioned deed	Sanction	Date of sanction
11	Details of disciplinary sanctions in a function or position as director, fiduciary relation or similar relation - dismissal or cessation/revocation of mandate			Object of sanction	Sanction	Date of sanction	
12	Major financial difficulties, financial deadlocks, enforcement procedures, judicial or extrajudicial proceedings pending settlement or settled			Please provide the aspects supplied as follows:			
13	Do you have, or intend to acquire in the next 12 months, any holding in the capital of the regulated entity referred to in Point 1?						
14	Are you in any manner whatsoever financially indebted to the regulated entity, including to the entities of the same group, to its shareholders, directors or members of the management structure - details, including the issuance of collateral, mortgage or other financially measured instruments						
15	Please communicate any additional information which may be deemed relevant to assess your qualification, professional experience and good repute						

<sup>1</sup> Provide the holdings accounting for at least 1% of the voting rights; in the case of the companies admitted to trading, provide the holdings accounting for at least 5% of the voting rights.

<sup>2</sup> Idem Point 1.

I, the undersigned ... .., in awareness of the provisions of Art. 326 of the Criminal Code regarding false statements, hereby declare under my own responsibility that all answers are correct, complete and true to the reality, that I meet the legal requirements for the ... .. function and that there are no other relevant facts of which ASF should be informed. I also undertake to inform ASF of all modifications of the information provided.

Signature

Date

... ..

... ..

NOTE: ASF shall keep the confidentiality of the information comprised herein, unless otherwise provided by law.

AFFIDAVIT

I, the undersigned ... .., with domicile in ... .. holder of ID... ..<sup>1</sup> series ... .. no. ... .. issued by ... .. on ..... valid until ... .., CNP ... .., as candidate for the position of member of the in the Board of Directors of SIF Banat-Crişana SA, hereby declare that:

- **comply with the legal provisions concerning the activity that I am going to perform as a member of the Board of Directors of SIF Banat-Crişana SA** and that
- **I am not in any situation of incompatibility provided by the laws in force;** (if the person is in a situation of incompatibility this is replaced by): **I acknowledge to discontinue the situation of incompatibility, within 30 days from the date of the endorsement communicated by ASF, and to submit at the deadline the documents attesting the end of incompatibility**

Given and signed today, on my own responsibility, acknowledging that false statements are punishable by law.

Signature ... ..

Date ... ..

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1 To be filled with BI for "buletin de identitate" or IC for "identity card" or PAS for passport, in cars of foreign natural persons.

## AFFIDAVIT

I, the undersigned ... .., with domicile in ... .. holder of ID... ..<sup>1</sup> series ... .. no. ... .. issued by ... .. on ..... valid until ... .., CNP ... .., as candidate for the position of member of the in the Board of Directors of SIF Banat-Crişana SA, hereby declare that during the las 10 years:

- there were no incidents that could affect my reputation and integrity
- occurred the following incidents that could affect my reputation and integrity:

... ..

Given and signed today, on my own responsibility, acknowledging that false statements are punishable by law.

Signature ... ..

Date ... ..

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1 To be filled with BI for "buletin de identitate" or IC for "identity card" or PAS for passport, in cars of foreign natural persons.

AFFIDAVIT

I, the undersigned \_\_\_\_\_, \_\_\_\_\_ citizen, place of birth \_\_\_\_\_, city \_\_\_\_\_, county \_\_\_\_\_, domicile/personal address \_\_\_\_\_, holder of ID document type \_\_\_\_, series \_\_\_\_\_, no. \_\_\_\_\_, issued by \_\_\_\_\_ on \_\_\_\_\_, valid until \_\_\_\_\_, CNP (Personal identification code) \_\_\_\_\_, **hereby**

**declare that:**

I meet

I not meet the criteria provided by **art. 138 ^ 2 of Law 31/1990 on the quality of independent administrator**, namely\*:

		YES	NO
a)	I am not an executive of the company or of a controlled company and have not been in such a position in the last 5 years;		
b)	I was not an employee of the company or of a controlled company or have had such an employment relationship in the last 5 years;		
c)	I do not receive or have received from the company or from a controlled company additional remuneration or other benefits, other than those corresponding to my quality of non-executive administrator;		
d)	I am not significant shareholder of the Company;		
e)	I don't currently have, nor have I had in the last year business relationships with the company or with a controlled company, either personally or as a partner, shareholder, administrator, executive director or employee of a company that has such a relationship with the company, if by their substantially nature, these are liable to affect my objectivity;		
f)	I am not or have been in the past 3 years a financial auditor or associated employee of the current financial auditor of the company or of a controlled company;		
g)	I am a director in another company in which a director of the company is non-executive administrator;		
h)	I was not the company's non-executive administrator for more than 3 mandates;		
i)	I do not have family relationships with a person in one of the categories mentioned in a) and d) above.		

**Signature**

**Date**

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\_\_\_\_\_

\* mark an X in the box YES if the statement is true or mark an X in the box NO if the statement is not true