



SIF BANAT-CRIȘANA

General Meeting of Shareholders convened for January 6 (7) 2021

LIST OF DOCUMENTS FOR THE CANDIDATURE FILE

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- 1 Nomination for administrator office ¹

 - 2 Curriculum vitae in Europass format, dated and signed; specifying the relevant studies and training, professional experience, including the names of all the organizations for which the person concerned has worked, the nature and duration of the duties performed, in particular as regards the activities which are relevant to the intended function; in the case of positions held in the last 10 years, when describing the respective activities details on all delegated powers must be specified, internal decision-making powers and areas of activity under the control of the person concerned or, where appropriate, in which he has functioned; and where applicable, it is mentioned the supervisory authority for entities in which the person has worked;

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

 - 4 Copies of education degree documents and other relevant certificates held, certified for conformity by their holder;

 - 5 List of executive and non-executive management positions held to date by the person concerned;

 - 6 Statement on own's responsibility of the evaluated person completed with the information provided in Annex 1 below (as per annex 1 to ASF regulation no. 1/2019);

 - 7 Statement on own's responsibility, showing the:
 - compliance with the applicable legal requirements relating to the work that he/she 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];
 - existence or non-existence of significant conflicts of interest in connection with the exercise of the position of SIF Banat-Crișana administrator

 - 8 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, as well as from the state of origin, when the domicile/residence is in other state than that of origin; for persons who are resident in Romania for more than three years and 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;

 - 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]

9 List of persons who can provide references, letters of recommendation regarding the reputation and experience of the evaluated person, including their contact details;

10 Statement on the quality of independent administrator [Annex 3 below]

11 List of leadership positions that may be held simultaneously, in accordance with the provisions of the specific applicable legislation. The provisions of art. 16 of the ASF Regulation no. 1/2019 shall be considered

12 The agreement regarding the processing of personal data, in accordance with the applicable legal provisions - according to the template in Annex no. 4.

¹ pursuant to the provisions of Art. 137¹ 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).

Annex 1
STATEMENT

(to be completed by the assessed persons¹)

No.	Subject/Question	Answer		Explanations		
		YES	NO			
1	Regulated entity			Name	Registered office	Type of entity
2	Identity of the candidate (<i>foreign persons shall also add the date as of which they had or will have their domicile/residence in Romania.</i>)			Surname and first name		
				First name from birth certificate (if different from current name)		
				CNP (Personal Identification Number)		
				Series and number of the identity card, issuer and date of issuance		
				Date and place of birth		
				Citizenship / Nationality		
				Domicile and/or residence		
3	Function proposed (<i>for persons with managerial duties, add the list of activities to be coordinated/supervised</i>)			Description of the duties and responsibilities		
				Start date and term of office		
				The name and position of the person to be replaced, if applicable		
4	Vocational training and relevant experience			Description of the relevant aspects that contributed to the professional training and to the acquisition of the experience relevant to the function concerned		
5	Shareholder or associate in the last 10 years			1. Individual holdings ²		
				Name and activity of the entity	Participation share (%)	
				2. Holdings together with other persons involved or with close links ³		
				Name and activity of the entity	Participation share (%)	

¹ Persons holding key positions, compliance officers and persons designated for the application of Law no. 656/2002 do not complete the information from no. 5, 6, 11,12,13 and 15

² Mentioning the holdings representing at least 1% of the voting rights; in the case of companies admitted to trading, holdings representing at least 5% of the voting rights shall be mentioned.

³ Idem pt. 1

No.	Subject/Question	Answer		Explanations				
		YES	NO					
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	Assessments carried out in the last 10 years by other authorities of Romania or another state, irrespective the assessment of the person concerned was carried out as a potential acquirer or the person proposed to manage a regulated entity			Name of the authority Date of assessment		Result of the assessment (endorsed by documents)		
8	Conflicts with financial-banking supervisory or fiscal authorities in Romania or other states: litigations or ongoing inquiries, refusal of approval/registrations; sanctions applied by these authorities or other measures ordered			Explanations:				
				<i>In the case of sanctions / measures ordered by the authorities, indicate the date of application / type of sanction / contravention committed / measure ordered and, where applicable, the duration of rehabilitation provided for in national legislation</i>				
9	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 (<i>Information shall be also provided although reliability has been regained.</i>) Exclusion by a regulatory authority, a governmental body or a professional body or association			Entity that ordered the sanction	Sanctioned deed	Sanction	Date of sanction	
10	Occurrences recorded likely to affect reputation and integrity, including information on criminal cases, investigations and proceedings, ongoing civil and administrative cases or, where appropriate, their non-existence			Explanations: <i>Notices of incriminating facts in ongoing proceedings / Detailed information on civil, administrative, or criminal proceedings pending before the courts:</i>				
11	Details of disciplinary sanctions in a function or position as administrator, fiduciary relation or similar relation - dismissal or cessation/revocation of mandate			Entity that ordered the sanction	Object of sanction	Sanction	Date of sanction	
12	Matters on financial stability: - records in the tax record certificate; - declared personal bankruptcy;			Explanations:				
13	Intent to acquire in the next 12 months, any holding in the capital of the regulated entity referred to in Point 1							
14	Any financial and non-financial interests that could create potential conflicts of							

No.	Subject/Question	Answer		Explanations
		YES	NO	
	interest, including:			
	a) loans, participations and interests or non-financial relations between the assessed person, their close relatives or the persons with whom he /she is in close contact and the regulated entity, the parent company or its subsidiaries or any person holding a qualified participation in such entity, including any members of such institutions or holders of key positions;			
	b) mentions regarding the existence or not, at present or in the last 2 years, of a commercial relationship with any of the entities or persons mentioned in section a) or if is involved in any legal proceedings with these entities or persons;			
	c) statements regarding the existence or non-existence between the assessed person or their close relatives and the regulated entity, the parent company, and its subsidiaries of interests in competitive relations;			
	d) the assessed person is or is not proposed on behalf of a single significant shareholder;			
	e) indications regarding any financial obligation towards the regulated entity, the parent company, or its subsidiaries;			
	f) mentions regarding any position of political influence (at national or local level) held in the last 2 years;			
	g) other traits that could create conflicts of interest with the regulated entity.			
15	Information on the minimum time that will be dedicated to the performance of the person's functions within the regulated entity (annual and monthly indications)			
	a) Mandates within entities pursuing predominantly commercial objectives, including: - any additional responsibilities associated with these mandates; - the number of meetings / meetings per year and the estimated time, in days per year, dedicated to each mandate; - the size of the entities or organizations in which these mandates are held, including total assets, whether the company is listed, and the number of employees.			
	b) Mandates held in entities of a predominantly non-commercial nature or those held in entities set up exclusively for the purpose of managing personal economic interests, including: - any additional responsibilities associated with these mandates; - the number of meetings / meetings per year and the estimated time, in days per year, dedicated to each mandate; - the size of the entities or organizations in which it holds these mandates, including total assets, whether or not the company is listed, and the number of employees.			

No.	Subject/Question	Answer		Explanations					
		YES	NO						
16	Any additional information which may be deemed relevant to assess your qualification, professional experience and good repute								

I, the undersigned⁴, in awareness of the provisions of Art. 326 of the Criminal Code regarding false statements, hereby declare under my own responsibility that:

- a) all answers are correct, complete and true to the reality;
- b) here are no other facts on which ASF and the regulated entity should be notified;
- c) I comply with the legal provisions in force regarding the activity to be carried out, including on the limitation of the number of management positions simultaneously held;
- d) I am not in the incompatibility cases provided by the legislation in force / I am in the incompatibility cases provided by the legislation in force as a result of ⁵ and I undertake to renounce the respective situation, within 30 days from the date of communication of my approval by the ASF, sending at the latest at the expiration of the term the supporting documents that reveal the exit from the incompatibility.

At the same time, I mention that I agree with the processing of personal data⁶ for the purpose of exercising the powers of the ASF and of the regulated entity and I undertake to communicate to the ASF and the regulated entity any changes to the information provided.

Signature

Date

⁴ Fill in the name and surname as in the identity document

⁵ The chosen option is underlined and filled in by the signatory if he /she is in such a situation

⁶ Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC

STATEMENT

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

- **I 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
- **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's by ASF communication, and to submit at the deadline the documents attesting the end of incompatibility**
- **I am aware / not aware of the existence of significant conflicts of interest in connection with the exercise of the position of administrator of SIF Banat-Crişana**

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

Signature

Date

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.

STATEMENT

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 advantages, other than those corresponding to my quality of non-executive administrator;		
d)	I am not significant shareholder of the Company;		
e)	I not have or have 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 director in another company in which a director of the company is non-executive administrator;		
h)	I haven't been the company's non-executive administrator for more than 3 mandates;		
i)	I have no family relationship with a person in one of the categories mentioned in a) and d) above.		

* 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

Signature

Date

INFORMATION NOTE

Societatea de Investiții Financiare Banat-Crișana S.A. (hereinafter **“SIF Banat-Crișana”** or **“the Company”**), Romanian company, headquartered in Arad, 35A Calea Victoriei, Arad county, registered with the Trade Register Office attached to the Tribunal of Arad under number Arad J02/1898/1992 and in the ASF Register under number PJR07.1AFIAA / 020007 / 09.03.2018, having the Unique Registration Code 2761040,

in accordance with the provisions of Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation) (hereinafter named **“Regulation 2016/679”**),

informs the candidate for a position of administrator of the Company about the processing of their personal data (the **“Data”**) as follows:

1. The categories of Data processed:

- (i) last name, surname;
- (ii) nationality / citizenship;
- (iii) date, place of birth, age;
- (iv) home and residence address;
- (v) e-mail address;
- (vi) telephone number;
- (vii) identity document data (e.g. series and number identity document);
- (viii) personal number for natural Romanian candidates;
- (ix) NIN code for non-resident candidates;
- (x) Number of shares held in the Company;

2. Grounds for processing Data: The Data are required to be provided by the candidate for a position of administrator of the Company and required to be processed by the Company for the fulfilment of the Company's statutory requirements regarding the assessment of candidates' adequacy, organizing the general meeting of shareholders and, eventually, the procedure of authorizing by the Financial Supervisory Authority.

Refusal to provide the Data determines the impossibility of Company to comply with the legal requirements.

3. The purposes of processing the Data: The data will be processed for the purpose of identifying the candidates, organizing the general shareholders' meeting that has on the agenda the election of administrators, and eventually, the procedure of the Financial Supervisory Authority authorizing the candidates elected, as well as correspondence with the candidate and solving the litigations that may arise between the Company and the candidate.

4. Duration of processing the Data: The data will be retained for the full duration of the period required by the legal regulations on accounting and archiving of documents.

5. Recipients of the personal Data: The Data will be used by the Company.

The Data will be transmitted to:

- (i) SIF Banat-Crișana's general meeting, Financial Supervisory Authority and National Trade Register, as per law;
- (ii) Courts, bailiffs, in cases of disputes between the Company and the candidates;
- (iii) Other state institutions, upon their request.

Also, some Data (e.g. first name, surname, telephone number, home address) may also be transmitted to private entities, namely courier or transport companies, if the Company sends correspondence to the candidate.

6. Transfer of Data: Data may be transferred to other European Union countries, without the prior consent and prior notification of the candidates. If the Company intends to transfer the Data to countries outside the European Union, the candidate will be informed in advance.

7. Accessing the data: The data will be accessed only by persons from SIF Banat-Crișana, authorized with specific duties designated for this purpose.

The persons within the Company who will access the Data according to the above are obliged to keep the confidentiality of the Data, being trained on Data protection.

8. Means of the processing of Data: by automated means and manually.

9. Obligations of the Company concerning the Data: The Company undertakes to:

- a) process the Data according to this information note and specific legislation in force;

- b) process the Data only through secured pages;
- c) confirm to candidate the processing or not of the Data upon a dated and signed request submitted in writing to the Company;
- d) rectify, update, block, delete or anonymize the data, free of charge, Data whose processing does not comply with the legal provisions;
- e) terminate free of charge the processing of Data not processed in accordance with the legal provisions;
- f) adopt all necessary security measures to protect Data against unauthorized access to the Data;
- g) facilitate the exercise of the candidate's rights with respect to the Data;
- h) notify the competent authorities of breaches in the security of the Data;
- i) inform the candidate of a breach of Data security if the breach is likely to create a high risk for his or her rights.

10. Obligations of the candidate concerning the Data: Candidates to the position of Company administrator undertake to:

- a) provide true, accurate and complete Data. If the Data are not true, accurate and complete, shareholders are required to notify the Company as soon as possible to remedy this situation;
- b) update the Data, when the situation so requires, to be true, accurate, and complete.

11. Candidate's rights concerning the Data: Candidates to the position of Company administrator mainly have the following rights:

- a) the right to access the Data, respectively to (i) obtain from the Company a confirmation that data relating to them is being processed or not; (ii) be informed of the transfer of data to states outside the European Union; (iii) receive from the Company a copy of the Processed Data;
- b) the right to rectify the Data, respectively to obtain the completion of the Data that is incomplete;
- c) the right to delete Data exceeding the Required Data to be provided for the purposes of paragraph 3 above;
- d) the right to restrict the processing of the Data;
- e) the right to the portability of the Data, i.e. the transmission of the Data directly by the Company to other entities, at the request of the candidate, if this is feasible from a technical point of view;
- f) the right to oppose the processing of Data that exceeds the Required Data to be provided for the purposes of point 3 above;
- g) the right to address to the competent authorities if they consider that the processing of the Data violates the legal provisions, respectively the National Supervisory Authority for Personal Data Processing in Romania.

In order to exercise the above mentioned rights, the candidate for a position of Company administrator shall submit to the Company a written, dated and signed request, using the following contact details:

Postal address: SIF Banat-Crișana, 35A Calea Victoriei, postal code 310158, Arad, Arad county, Romania;

Email address: gopr@sif1.ro.