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| **Appendix 9** to the form summarising information on the criteria for initial suitability assessment of  Mr/Ms ……………….  - candidate for a member of the Supervisory Board of PKO Bank Polski S.A.  **COMBINATION OF FUNCTIONS** |

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| **SECTION 1 – to be completed by the person under assessment – candidate for a Supervisory Board member** |
| |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 1. **Information on functions held on supervisory boards/non-executive director capacity** | | | | | | | | | | No | Entity name | Function/position | Capital group/institutional protection scheme | The assessing entity has a qualifying holding[[1]](#footnote-2) | Representative of the State Treasury | Function currently held/to be held | Area of activity | | |  |  |  |  | yes  no | yes  no | holds the function  will hold the function | banking  retirement  capital | insurance  other financial  non-financial | |  |  |  |  | yes  no | yes  no | holds the function  will hold the function | banking  retirement  capital | insurance  other financial  non-financial | |  | | | | | | | | | | **Total number of positions on supervisory boards** | | | | | | |  | | | **Total number of positions on supervisory boards, including positions counted as single ones[[2]](#footnote-3)** | | | | | | |  | | |

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| |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | 1. **Information on functions held on Management Boards/executive director capacity** | | | | | | | | | No | Entity name | Function/position | Capital group/institutional protection scheme | The assessing entity has a qualifying holding[[3]](#footnote-4) | Function currently held/to be held | Area of activity | | |  |  |  |  | yes  no | holds the function  will hold the function | banking  retirement  capital | insurance  other financial  non-financial | |  | | | | | | | | | **Total number of positions on management boards** | | | | | |  | | | **Total number of positions on management boards, including positions counted as single ones[[4]](#footnote-5)** | | | | | |  | | |

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| |  |  |  | | --- | --- | --- | | 1. **Declaration on the combination of functions** | | | | Content | Answer | Comment | | I serve as a supervisory board member in two or more entities belonging to the same capital group at the same time. | YES  NO |  | | The number of functions performed at the same time exceeds or will exceed:   1. One function as a member of the management board and two functions as a member of the supervisory board, or 2. four functions as a member of the supervisory board.[[5]](#footnote-6) | YES  NO |  | | There is a situation where obtaining consent to one additional function (applicable to a significant body) in a body will result in exceeding the number of functions specified in item 2, which would require sending a notification to the European Banking Authority. | YES  NO |  |  |  |  | | --- | --- | | Date and signature of the candidate for a Supervisory Board member: |  | |

1. This means a direct or indirect holding in an undertaking which represents 10 % or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking. [↑](#footnote-ref-2)
2. A single position is understood as positions held on supervisory boards in entities belonging to the same capital group or held in entities covered by the same institutional protection scheme and in entities in which the bank has a qualifying holding. [↑](#footnote-ref-3)
3. This means a direct or indirect holding in an undertaking which represents 10 % or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking. [↑](#footnote-ref-4)
4. A single position is understood as positions held on management boards in entities belonging to the same capital group or held in entities covered by the same institutional protection scheme and in entities in which the bank has a qualifying holding. [↑](#footnote-ref-5)
5. **The requirement provided for in Article 22aa section 3 of the Act of 29 August 1997 - the Banking Law, applicable to members of the supervisory board of a significant bank,** relates to the limitation of the number of functions performed at the same time, i.e. the requirement is met if a candidate performs:

   1. not more than one function as a member of the management board and two functions as a member of the supervisory board, or
   2. not more than four functions as a member of the supervisory board,

   where one function is considered to be that of a member of the management board or of the supervisory board:

   *-* performed in entities belonging to the same capital group within the meaning of Article 3 section 1(44) of the Accounting Act of 29 September 1994,

   - performed in entities covered by the same institutional protection scheme which meets the conditions referred to in Article 113(7) of Regulation No 575/2013

   - performed in entities in which the bank has a qualifying holding, as referred to in Article 4(1)(36) of Regulation No 575/2013 (i.e. has a direct or indirect holding in that entity representing 10% or more of the capital or voting rights or which makes it possible to exercise significant influence over the management of that entity).

   The limitation also does not apply to functions held by a (candidate for a) member of a bank’s supervisory board in non-business entities. [↑](#footnote-ref-6)