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| **Appendix 7** 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. (Bank)  **FINANCIAL SITUATION AND CONFLICT OF INTEREST OF THE CANDIDATE** |
| **SECTION 1 – to be completed by the person under assessment – candidate for a Supervisory Board member** |
| |  |  | | --- | --- | | 1. **Business activity** | | | During the last 5 years: | | | I have not conducted any business activity. |  | | I have conducted business activity *(please specify):* |  | |  | | During the last 5 years the persons sharing a household with me: | | | have not conducted any business activity. |  | | have conducted business activity *(please specify):* |  | |  |  |  |  | | --- | --- | | 1. **Shareholding** | | | During the last 5 years: | | | I have not held any shares, stocks or other participation units in a company. |  | | I hold, or during the last 5 years I held, the following shares, stocks or other participation units in companies (*list the companies and indicate, for the purpose of assessing a conflict of interest, those in which you are or were entitled to exercise 5% or more of the voting rights at the general meeting/shareholders’ meeting):* |  | |  | | During the last 5 years the persons sharing a household with me: | | | have not held any shares, stocks or other participation units in a company. |  | | have held the following shares, stocks or other participation units in companies *(list them)*: |  | |  |  |  |  | | --- | --- | | 1. **Legal proceedings that may adversely affect my financial situation** | | | Currently and over the last 5 years: | | | I am not and was not a party to legal proceedings. |  | | I am, or during the last 5 years I was, a party to the following legal proceedings (list them): |  | |  |  |  |  | | --- | --- | | 1. **Administrative, disciplinary or enforcement proceedings that may adversely affect or might have adversely affected my financial situation** | | | Currently and over the last 5 years: | | | I am not and was not a party to such legal proceedings. |  | | I am, or during the last 5 years I was, a party to such proceedings (list them): |  | |  |  |  |  | | --- | --- | | 1. **Information on tax arrears** | | | I am not aware of any tax payments owed from me. |  | | I have been found to be in arrears with tax payments (*description of existing tax arrears or attached certificate confirming the balance of tax arrears*): |  | |  |  |  |  | | --- | --- | | 1. **Entry in the Register of Insolvent Debtors** | | | NO |  | | YES (please describe): |  | |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | 1. **Declarations of the candidate for a Supervisory Board member regarding a conflict of interest, including competitive activity** | | | | | | Currently and over the last 5 years: | | | Currently | Last 5 years | | I am engaged in activities that are competitive to the Bank’s business *(list the entities that are involved in such activities):* | | | yes  no |  | |  | | | | | | I hold, directly or indirectly, stocks or shares in a commercial law company which carries out activities competitive to the business of the Bank in which I hold/will hold a function or where I have the right to appoint at least one member of that company’s management board (*list the companies competitive to the Bank in which you hold or will hold a function which meet the above condition, and also indicate those in which your shareholding is at least 10%):* | | | yes  no |  | |  | | |  | | | I hold, directly or indirectly, shares in another economic entity (e.g. mutual insurance company, cooperative bank, cooperative savings and credit union) which carries out activities competitive to the business of the Bank in which I hold/will hold a function or I have the right to appoint at least one member of that entity’s management board. | | | yes  no |  | | I am a member of a body of an entity carrying out activities competitive to the business of the Bank in which I hold/will hold a function, in particular a member of a body of a capital company or other legal entity *(list the respective competitors)* | | | yes  no |  | |  | | | | | | I am a partner in a civil partnership or partnership carrying out activities competitive to the business of the Bank in which I hold/will hold a function *(list the respective competitors)* | | | yes  no |  | |  | | | | | | I have economic interests with the Bank in which I hold/will hold a function, on account of my business activity, intellectual property rights or on any other grounds *(specify the subject of your cooperation with the entity in which you hold/will hold a function):* | | | yes  no |  | |  | | |  | | | the company/partnership in which I am a partner/shareholder has a credit/loan granted by the Bank in which I hold/will hold a function. | | | yes  no |  | | I have a loan/credit granted for purposes related to my business activity by the Bank in which I hold/will hold a function. | | | yes  no |  | | a person close or related[[1]](#footnote-1) to me has a qualifying holding in the Bank in which I hold/will hold a function. | | | yes  no |  | | I am/I was an employee/collaborator of[[2]](#footnote-2) an entity has a qualifying holding in the Bank in which I hold/will hold a function. | | | yes  no | yes  no | | a person close or related to me is an employee of the Bank in which I hold/will hold a function or of an entity covered by prudential consolidation. | | | yes  no |  | | I am/I was in an employment/collaboration relationship with an employee of the Bank in which I hold/will hold a function or of entity covered by prudential consolidation[[3]](#footnote-3). | | | yes  no | yes  no | | I am/I was in an employment relationship with another entity that may lead to an actual or potential conflict of interest (*list the entities concerned):* | | | yes  no | yes  no | |  | | |  | | | I am a partner/shareholder/member of a body of an entity that is a significant counterparty[[4]](#footnote-4) of the Bank in which I hold/will hold a function (*list the entities concerned):* | | | yes  no |  | |  | | |  | | | a person close or related to me is a significant counterparty or a member of a body of a significant counterparty of the Bank in which I hold/will hold a function (*list the entities concerned):* | | | yes  no |  | |  | | |  | | | I am in an employment/collaboration relationship with an entity that is a significant counterparty or with a person being a member of a body of a significant counterparty of the Bank in which I hold/will hold a function (*list the entities concerned):* | | | yes  no |  | |  | | |  |  | | my social activity gives rise to a conflict of interest in the context of the operations of the Bank in which I hold/will hold a function. | | | yes  no | yes  no | | I hold or held office in the bodies of other entities *(list the entities concerned and provide information on whether you have been granted discharge, or not):* | | | yes  no | yes  no | |  | | |  | | | No | Appendices[[5]](#footnote-5) | | | | |  |  | | | | | Date and signature of the candidate for a Supervisory Board member: | |  | | | |

1. A close or related person is understood in this questionnaire as a spouse, a person in cohabitation, a relative, a kinsman up to the second degree of affinity, as well as a person in a relation of adoption, guardianship or custody with a member of the Management Board. [↑](#footnote-ref-1)
2. Collaboration is understood in this questionnaire as collaboration under terms other than an employment contract, e.g. a contract of mandate, a contract for specific work, other civil law contract. [↑](#footnote-ref-2)
3. Entities covered by prudential consolidation: subsidiaries meeting the definition of an institution, financial institution or ancillary services undertaking. Non-financial and insurance entities are excluded from prudential consolidation.

   For prudential consolidation purposes, the PKO Bank Polski SA Capital Group consists of: PKO Bank Polski S.A., PKO Leasing S.A. Capital Group, PKO BP BANKOWY PTE S.A., PKO Towarzystwo Funduszy Inwestycyjnych S.A., KREDOBANK S.A. Capital Group, PKO Finance AB, PKO BP Finat sp. z o.o., PKO Bank Hipoteczny S.A. and Bankowe Towarzystwo Kapitałowe S.A. Capital Group. [↑](#footnote-ref-3)
4. A significant counterparty is understood in this questionnaire as e.g. a significant service provider, a consulting firm. [↑](#footnote-ref-4)
5. e.g. statement of no tax arrears, statement of the amount of overdue tax [↑](#footnote-ref-5)