

Self-Assessment Questionnaire for the Management Board and Supervisory Board Members

Questionnaire for Suitability Assessment of Management and Supervisory Board Members and Candidates for Management and Supervisory Board Members

First name:	
Surname:	
Family name:	
Parents' first names:	
Citizenship:	
Place of birth:	
Contact details (address/phone/e-mail):	
Registered address (permanent or temporary):	
Address of residence:	
PESEL number or date of birth:	
ID card number and series or passport number:	

SELF-ASSESSMENT QUESTIONNAIRE (education)			
relates to:			
Assessment of theoretical knowledge			
High school			
Name of the school			
Education profile			
Year of completion		Appendix – diploma	
University-level education			
Name of the university:		Title earned:	
Department/Organisational Unit:		Course:	
Faculty:		Grade:	
Additional information:		Year of completion	
		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Name of the university:		Title earned:	
Department/Organisational Unit:		Course:	
Faculty:		Grade:	
Additional information:		Year of completion	
		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Name of the university:		Title earned:	
Department/Organisational Unit:		Course:	
Faculty:		Grade:	
Additional information:		Year of completion	
		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Postgraduate studies, legal apprenticeship, certifications and other forms of supplementary education			
Name of the institution providing the training:		Subject:	
Title/qualifications earned:		Year of completion:	
Additional information:		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Specialised training			
Name of the institution providing the training:			
Subject:		Year of completion:	
Additional information:		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Name of the institution providing the training:			
Subject:		Year of completion:	
Additional information:		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Name of the institution providing the training:			
Subject:		Year of completion:	
Additional information:		Appendix – diploma	
Completed as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Specific professional qualifications			
Type of qualifications		Year obtained	
Entry No.		Appendix – certificate	
Acquired as part of supplementing the deficiencies		Date of assessment that identified the deficiencies:	
Date and signature:			

SELF-ASSESSMENT QUESTIONNAIRE (professional CV)

relates to:

#	Period of employment ¹	Seniority (in full months)	Place of work (name and registered office)	Sector	Job name	Scope of duties:	Job type ²	Reporting line (N - Management Board level)	Legal form of employment	Reporting organisational units ³	Number of reporting employees (directly / indirectly)	Reason for termination	Employer's contact details	Appendices
1														
2														
3														
4														
5														
6														
7														
8														
9														
10														

¹ Employment start and end dates in year-month-day format

² **supervisory** – in the case of a supervisory function (e.g. a supervisory board or a non-executive director function in a homogeneous management body)

executive – in the case of an executive function (e.g. management board or an executive director function in a homogeneous management body)

managerial – in the case of a position reporting directly to the management board, with a separate scope of competences and related to the actual management of employees

academic/administrative – for non-supervisory functions, offering experience useful in supervising the operations of a financial institution

other – for other job positions

³ Please list all reporting units and briefly describe their fields of activity

Date and signature:	
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SELF-ASSESSMENT QUESTIONNAIRE (professional qualifications)						
relates to:						
Competences related to Bank management						
#	Competence	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment? (relates to Secondary Suitability Assessment)	Justification	
1	Market knowledge The person assessed knows the financial market in general, with particular emphasis on the banking sector and the knowledge of the Polish market.					
2	Knowledge of legal requirements and regulatory frameworks The assessed person is familiar with the regulations, recommendations of supervisory authorities and codes of good practice governing operations in the banking sector.					
3	Strategic planning (having management skills) The assessed person understands the institution's business strategy/business plan and can implement them.					
4	Knowledge of management system, including risk management The assessed person understands the methodology of risk management – identifying, assessing, monitoring, controlling and minimising the major risks affecting the institution.					
5	Accounting and financial audit The assessed person has current knowledge of accounting, accounting standards and financial auditing.					
6	Supervision, control and internal audit I understand the principles and standards of the audit and internal control system.					
7	Interpretation of financial information (having financial and accounting skills) The assessed person is able to interpret financial data and accounting data, can carry out an analysis and draw conclusions on the basis of presented data, necessary to manage the entity while taking into account the market situation.					
8	Knowledge of Polish The assessed person has a proven command of the Polish language, communicates efficiently in Polish with the employees (both on everyday and industry-related matters), understands the matters discussed during the meeting of the authority; is able to use Polish in presentations and speeches during conferences, workshops or key meetings. Has a proven command of the Polish language, communicates efficiently in Polish with the employees (both on everyday and industry-related matters), understands the matters discussed during the meeting of the authority; is able to use Polish in presentations and speeches during conferences, workshops or key meetings.					
Competence in risk management						
#	Risk area	Risk	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment? (relates to Secondary Suitability Assessment)	Justification
1	Business model area	business risk – the risk of a failure to achieve the assumed and necessary economic objectives due to failure in market competition				
2		strategic risk – the risk related to making adverse or wrong strategic decisions, lack of or faulty implementation of the adopted strategy and changes in the external environment and an inappropriate response to these changes				
3	Credit risk area	credit risk – the risk of potential loss due to the non-performance of an obligation by a customer or counterparty at the contractual deadline				
4		concentration risk – a risk resulting from excessive concentration of exposures to individual customers, groups of connected customers, customers operating in the same sector of economy, geographical region, conducting the same activity or trading the same commodities, entities belonging to the bank's group of companies (both cross-border and domestic), exposures denominated in the same currency or indexed to the same currency, under the applied credit risk mitigation techniques and large indirect credit exposures, such as a single collateral issuer, characterised by the potential to generate losses sufficiently large to threaten the bank's financial standing or capacity to run its core business or to lead to a significant change in the bank's risk profile				
5		collective borrowers default risk – a specific concentration risk arising from the potential significant credit losses of an institution as a result of concentration of exposures to a group of borrowers characterised by similar default behaviour, and associated with the potential likelihood of an event (e.g. natural or social/political) of nationwide character resulting in default of a large group of debtors				
6		counterparty risk – counterparty default risk – means the risk that the counterparty to a transaction defaults before the final settlement of the cash flows associated with that transaction				
7		settlement/delivery risk – this is the risk that debt instruments, equity instruments, foreign currencies and commodities (except for repurchase transactions and securities or commodities lending or borrowing transactions) will remain unsettled after their established settlement/delivery dates				
8		F/X lending risk – actual or potential threat to the bank's results and equity related to foreign currency loans granted to unsecured borrowers				
9	Market risk area	position risk – the risk of impairment of assets, increase in the level of liabilities or change in the financial result as a consequence of sensitivity to changes in prices of financial instruments. This type of market risk covers the general and specific risk of positions in debt instruments (interest rate risk) and equity instruments (equity price risk), with securitisation positions in the trading book treated as debt instruments. It should be stressed that the interest rate risk considered under market risk only applies to the activities in the trading book. In the area of position risk – as defined above – we distinguish the following elements: interest rate risk, equity instrument price risk				
10		F/X risk – the risk of impairment of assets, increase in the level of liabilities or change in the financial performance as a result of sensitivity to changes in F/X rates				
11		commodity price risk – the risk of loss in the value of assets or change in the financial performance as a result of sensitivity to changes in commodity prices (homogeneous ones – e.g. platinum, crude oil)				
12		interest rate credit valuation adjustment risk – this is the risk related to the adjustment of the valuation of the portfolio of transactions with a counterparty due to the change in the counterparty's credit risk. This adjustment reflects the current market value of the counterparty's credit risk to the bank, but does not reflect the current market value of the bank's credit risk to the counterparty				
13		conduct risk: the actual or potential risk of loss that an institution may incur as a result of inadequate provision of financial services, including through wilful misconduct or negligence				
14		IT risk – uncertainty related to correct, effective and secure support of the bank's operations by its ICT environment; in particular, IT risk should be identified in the context of threats and vulnerabilities of an existing component or group of components of the ICT environment and the effect of these relationships on the secure functioning of the ICT infrastructure and related processes, as well as the security of data used for the needs of the bank's operations and provision of services to customers				
15		legal risk – the risk of incurring losses as a result of erroneous or late drafting or enactment of regulations, their instability, changes in case law, erroneous shaping of legal relations, quality of formal and legal documentation or unfavourable decisions of courts or other authorities in litigation with other entities				
16		model risk – means the potential loss that an institution may incur, as a result of decisions that may have been fundamentally based on data obtained using internal models, due to errors in the development, implementation or application of such models (Article 3(1)(11) of the CRD IV Directive)				
17	AML risk – associated with money laundering or financing terrorism					
18	Liquidity and funding area	liquidity risk – the risk of losing the ability to finance assets and meet liabilities in a timely manner in the normal course of the Bank's business, or in other conditions that can be foreseen, causing the Bank to incur unacceptable losses				
19		market liquidity risk – the risk of losing the ability to convert certain facilities on the market into cash within the required time, which results in the necessity to incur financial losses on those facilities				
20		intraday liquidity risk – the risk of losing the ability to meet cash obligations on the current day				
21		liquidity concentration risk – the risk of defaulting on current obligations due to dependence (lack of diversification) or excessive exposure to a single entity or related entities				

22		financing risk – the risk of a shortage of stable sources of finance in the medium and long term, resulting in an actual or potential risk of the bank's defaulting on its financial obligations as they fall due in the medium and long term, either in full or as a result of having to incur unacceptable financing costs				
23	Capital management area	risk of excessive leverage - means the vulnerability of an institution to risks due to leverage or contingent leverage that may require taking unplanned actions to adjust its business plan, including the emergency sale of assets that could generate losses or require adjustments to the valuation of its remaining assets				
24		insolvency risk – a risk arising from the failure to secure capital and the inability to achieve a level of capital adequate to the risk of the bank's activity, necessary to cover unexpected losses and satisfy supervisory requirements allowing further independent functioning of the bank				
25	Management area	compliance risk – the effects of non-compliance with laws, internal regulations and market standards				
26		reputational risk – current or future risk to the financial result, equity or liquidity caused by the breach of the bank's reputation				
27	Systemic risk area	systemic risk – a risk of disruption in the functioning of the financial system which, if it were to materialise, would disrupt the operation of the financial system and the national economy as a whole, the source of which may be, in particular, trends associated with excessive credit or debt dynamics and related asset price imbalances, unstable funding models, risk distribution across the financial system, links between financial institutions, or macroeconomic and sectoral imbalances				
28		contagion risk – the risk of transmission of disorders in the functioning of the market or a financial market participant to another market or another financial market participant(s), in particular when the transmission of disorders is exceptionally strong (extreme) and its source is other than common market factors or economic conditions				
Competence in managing the main areas of the Bank						
#	Business line	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment?	Justification	
1	Retail banking					
2	SME Banking					
3	Corporate Banking					
4	Private and Investment Banking					
5	Strategy and Transformation					
6	Finance					
7	Risk Management					
8	Technology & Operations					
9	Areas of support					
Personal competences						
#	Competence	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment? (relates to Secondary Suitability Assessment)	Justification	
1	Authenticity The behaviour of the person assessed is consistent with the intentions communicated as well as his/her values and beliefs. Openly communicates his/her intentions, ideas and opinions to the extent consistent with the needs and expectations of the role and while maintaining the security and confidentiality of the information. The assessed person provides factual information to the supervisor, taking into account risks and difficulties. Encourages others to be open and honest about their tasks and the situation in their managed area.			N/A	N/A	
2	Language The person assessed communicates orally and in writing in a clear and organised manner and in accordance with the accepted social and corporate norms driven by the organisational culture in his/her native language or in the language used at work in the location of the institution.					
3	Firmness The assessed person makes decisions in a timely manner, acting in accordance with an agreed schedule or, if there is no such schedule, as soon as possible taking into account current priorities. When making decisions, he/she relies on the available information.			N/A	N/A	
4	Communication The assessed person conducts communication in a manner that enables clear and transparent information to be given and received. His/her behaviour encourages and gives the interlocutor the space to formulate feedback.					
5	Judgement The assessed person draws conclusions based on an analysis of available information and the possible courses of action. He/she considers the situation holistically, beyond the perspective of his/her position, especially when dealing with problems that may threaten the continuity of the company's operations.					
6	Customer care and high standards The assessed person focuses on ensuring high standards and, where possible, finding ways to raise them. Specifically: refuses to authorise the development and marketing of products and services and incurring capital expenditures in circumstances where he/she is unable to adequately measure the risk due to a lack of understanding of the structure, principles or underlying assumptions of the proposed solution. Identifies and researches customer expectations and needs and ensures that correct, complete and understandable information is provided to customers. Takes into account in particular the value of the product to the customer and the relevance and suitability of the product.					
7	Leadership skills / team leadership When managing a subordinate team and project work, the assessed person indicates the directions of activity, supports teamwork, motivates employees and ensures that they have the professional competencies appropriate to their functions or necessary for achieving the objectives set. Accepts feedback and demonstrates an attitude of openness to engage in a constructive discussion.					
8	Loyalty The assessed person's behaviour demonstrates that he or she identifies with the organisation, its vision and goals, and demonstrates commitment. Spends adequate time on the job and completes his/her tasks as expected. Defends the interests of the organisation and acts in an objective and critical manner. Recognises and anticipates potential conflicts of interest and takes actions aimed at mitigating their negative impact on the company's operations.			N/A	N/A	

9	External awareness The assessed person continuously monitors the state of the organisation, the prevailing balance of power within it and operating methods adopted. Is well versed in the prevailing national and international economic situation (including financial, economic and social developments) that may affect the organisation and the interests of the individual entities. At the same time, he/she uses this information effectively.				
10	Negotiations The assessed person identifies and discloses interests in a manner designed to achieve consensus in pursuit of negotiation objectives.				
11	Persuasion The assessed person is able to influence the opinions of others using persuasive skills, authority and tact. He/she has a strong personality and remains relentless in all situations where it is justified.				
12	Teamwork The assessed person acts based on the interest of the group and contributes to a common goal.				
13	Strategic skills The assessed person creates and develops realistic plans and strategies for the development of the company (e.g. using scenario analysis), taking into account long-term objectives. Strategic plans consider the risks to which the organisation is exposed and take appropriate steps to manage those risks.				
14	Resistance to stress The assessed person understands and takes into account in decision making the internal and external conditions that form the context in which the enterprise operates. When making decisions and taking actions, he/she takes into account their impact on stakeholders.				
15	Sense of responsibility The assessed person understands and takes into account in decision making the internal and external conditions that form the context in which the enterprise operates. When making decisions and taking actions, he/she takes into account their impact on stakeholders.			N/A	N/A
16	Chairing meetings When chairing meetings, the assessed person creates an atmosphere of openness and encourages participants to take part on equal terms, and ensures that the meetings run smoothly. He/she has knowledge of the tasks and responsibilities of the participants.				

Date and signature:	
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SELF-ASSESSMENT QUESTIONNAIRE (Audit Committee qualifications)					
relates to:					
#	Competence	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment? (relates to Secondary Suitability Assessment)	Justification
1	Knowledge of accounting:				
2	Accounting Skills:				
3	Knowledge of auditing financial statements:				
4	Skills related to auditing financial statements:				
5	Knowledge of banking:				
6	Skills related to banking:				

SELF-ASSESSMENT QUESTIONNAIRE (Appointments and Remuneration Committee qualifications)					
relates to:					
#	Competence	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment?	Justification
1	Knowledge and experience in relation to the Bank's operations				
2	Knowledge and experience in the area of compensation policy and practice				
3	Knowledge and experience in relation to remuneration with respect to risk management and risk control (i.e. with respect to using the mechanism of adjusting the remuneration structure to the Bank's risk and capital profile)				

SELF-ASSESSMENT QUESTIONNAIRE (Risk Committee qualifications)					
relates to:					
#	Competence	Assessment	Justification	Has your level of competence changed since the date of appointment/last assessment?	Justification
1	Knowledge and experience in relation to the Bank's operations				
2	Knowledge, including expertise, and skills with respect to risk management practices and controls				

SELF-ASSESSMENT QUESTIONNAIRE (clean criminal record)

relates to:

Residence abroad and clean criminal record

Within the last 10 years:

I did not have a place of residence outside the Republic of Poland. Information on clean criminal record issued by the National Criminal Register is attached to the assessment form.

I have had a place of residence outside the Republic of Poland. Information on the absence of a criminal record issued by the National Criminal Register and certificates of the clean criminal record issued by the competent authorities of all countries in which I was resided during that period are attached to the assessment form.

Proceedings underway

Currently and over the past 5 years:

I am not and have not been subject to any criminal proceedings or tax offence proceedings before any Polish or foreign judicial authorities. I have not been charged in criminal proceedings, excluding those concerning a crime under a private prosecution, or in proceedings for a tax offence before Polish or foreign judicial authorities.

The following criminal proceedings or proceedings for tax offences are or were conducted against me before Polish or foreign judicial authorities. I have been charged in criminal proceedings, excluding those concerning a crime under a private prosecution, or in proceedings for a tax offence before Polish or foreign judicial authorities.

In the period from the date of the statement made in the previous assessment (to be completed by current members of the authority only):

I informed the KNF about the above mentioned allegations within 30 days of their receipt.

I have not been charged in connection with a criminal prosecution, excluding charges concerning a crime under a private prosecution, or in proceedings for a tax offence before Polish or foreign judicial authorities.

I have been charged in connection with a criminal prosecution, excluding charges concerning a crime under a private prosecution, or in proceedings for a tax offence before Polish or foreign judicial authorities, as follows:

I confirm the statements made in this form and am aware of the criminal liability for making a false statement, in accordance with Article 233 of the Criminal Code.

Date and signature:

SELF-ASSESSMENT QUESTIONNAIRE (guarantee)			
relates to:			
I have had administrative sanctions imposed on me within the last 5 years.		If so, which ones:	
Within the last 5 years, administrative sanctions have been imposed on other entities in relation to my area of responsibility		If so, which ones:	
Within the last 5 years, I have appeared or appeared as a party in court proceedings.		If so, which ones:	
Within the last 5 years, I have appeared or am appearing as a party to administrative, disciplinary or enforcement proceedings.		If so, which ones:	
Within the last 5 years, I have caused documented property damage in the workplace.		If so, which ones:	
I have been banned from doing business within the last 5 years.		If so, under what circumstances:	
Within the last 5 years, I have been banned from acting as a representative or proxy of a business, a member of the supervisory board or the audit committee in a joint stock company, a limited liability company, a limited joint-stock partnership or a cooperative.		If so, which ones:	
Within the last 5 years, any authorisation or approval has been refused in connection with activities I carry out or plan to carry out, or functions in entities engaged in financial market activities, in the following circumstances.		If so, under what circumstances:	
Within the last 5 years, any authorisation or approval has been withdrawn in connection with the activities performed or planned by me or my functions in entities engaged in financial market activities.		If so, under what circumstances:	
Within the last 5 years, my employment(s) in any form with entities operating in the financial market have ceased at the initiative of employers or principals.		If so, under what circumstances:	
Within the last 5 years, there have been or there are proceedings conducted in connection with liquidation, bankruptcy, recovery or restructuring proceedings with respect to entities in which I hold or have held managerial positions or in which I hold or have held a stake equal to or exceeding 10% of the total number of votes at the general meeting or in the share capital, or with respect to which I am or have been a parent entity.		If so, which ones:	
Within the last 5 years supervisory measures have been taken by a competent supervisory authority (or similar actions of another authorised entity on the basis of separate acts) in relation to me in connection with irregularities in the operations of entities subject to the supervision of a competent supervisory authority, in which I am or have been a member of the managing body in the period of taking supervisory measures.		If so, which ones:	
Within the last 5 years supervisory measures have been taken by a competent supervisory authority (or similar actions by another authorised entity on the basis of separate acts) with respect to an entity in which I hold or have held a stake equal to or exceeding 10% of the total number of votes at the general meeting of shareholders or in the share capital, or with respect to which I am or have been a parent company, in connection with irregularities in the activity of such entity, if such entity carries out or has carried out an activity subject to supervision by a competent supervisory authority in the country where it is located.		If so, which ones:	

I confirm the statements made in this form and am aware of the criminal liability for making a false statement, in accordance with Article 233 of the Criminal Code.	
Date and signature:	

SELF-ASSESSMENT QUESTIONNAIRE (conflict of interest)				
relates to:				
Business operations and legal proceedings				
Currently or within the last 5 years I am or have been running a business (understood also as being in a contract of mandate or other legal relationship of a similar nature or providing work under an employment relationship or on any other basis to other entities - Non-Banking Activity 4).		If so – what kind / whether competitive to the Bank's operations		
Currently or within the last 5 years persons remaining in my household are or have been running a business (understood also as being in a contract of mandate or other legal relationship of a similar nature or performing work under an employment contract or on any other basis for other entities - Non-Banking Activity 4).		If so – what kind / whether competitive to the Bank's operations		
I currently hold or have held within the last 5 years shares, stocks or other title in the Bank.		If so, which ones:		
Currently or within the last 5 years, persons in my joint household own or have owned shares, stocks or other title in the Bank.		If so, which ones:		
I am currently, or have been within the last 5 years, a party to legal proceedings that may or may have had an adverse effect on my financial situation.		If so, in which ones:		
I am currently or have been within the last 5 years a party to administrative, disciplinary or enforcement proceedings that may have or may have had a negative impact on my financial situation.		If so, in which ones:		
	Currently	Last 5 years		
I hold, directly or indirectly, shares in a commercial company or have the right to appoint at least one member of the management board in such a company, which conducts activities competitive to the Bank.		N/A	Please list the companies that compete with the entity in which you hold/will hold office:	
I hold shares, directly or indirectly, in another business entity (e.g. mutual insurance company, cooperative bank, cooperative savings and credit union) or the right to appoint at least one member of the management board in such an entity, which conduct activities competitive to the Bank.		N/A		
I have an economic interest with the Bank in my business, intellectual property rights or other title.		N/A	Please list the subject of your collaboration with the entity in which you serve/will serve:	
The company in which I am a partner/shareholder has a loan from the Bank.		N/A		
I have a loan granted in connection with my business, by the Bank.		N/A		
A person close ¹ to me is a holder of substantial shareholdings in the Bank.		N/A		
I am/was an employee/associate ² in an entity that has significant stocks/shares in the Bank.				
A person close to me is an employee of the Bank or an entity within the scope of prudential consolidation.		N/A		
I am/have been in an employment/cooperation relationship with a person who is an employee of the Bank or an entity covered by the scope of prudential consolidation.				
I have/have had an employment relationship with another entity which may lead to an actual or potential conflict of interest.			Please list the entities concerned:	
I am a partner/shareholder/stockholder/member of a body in an entity that is a material counterparty ³ of the Bank.		N/A	Please list the entities concerned:	
A person close to me is a material counterparty or a member of the body in a material counterparty of the Bank.		N/A	Please list the entities concerned:	
I am in an employment/cooperation relationship with an entity that is a material counterparty of the Bank or with a person that is a member of the body in a material counterparty of the Bank.		N/A	Please list the entities concerned:	
I am a member of a body in an entity running business competitive to the Bank.		N/A	Please list the competitors concerned:	
My social activity creates a conflict of interest with regard to the Bank's activities.				
Certificates from competent tax authorities				
A tax clearance certificate is attached to the form.				
A certificate stating the status of the arrears is attached to the form.				

1 Close person, as defined in this questionnaire, is a spouse, cohabitant, relative, relative by affinity up to the second degree, and a person in a relationship of adoption, guardianship or custody.

2 Cooperation within the meaning of this questionnaire – cooperation on terms other than employment contract, e.g. contract of mandate, contract for specific work, other civil law contract.

3 Significant counterparty as defined in this questionnaire – is e.g. a significant service provider, a consulting company.

4 Non-Banking Activity – an activity defined in the Bank's internal regulations on the management of conflicts of interest, understood as running a business, being in a contract of mandate or another legal relationship of a similar nature or performing work under an employment contract or on any other basis for the benefit of other entities

Date and signature:	
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SELF-ASSESSMENT QUESTIONNAIRE (independent judgement)

relates to:

Please describe (and if possible document) a selected situation within the last 3 years or since the statement made in the previous assessment in which you demonstrated your ability to address problematic issues to members of the supervised entity's governing bodies:

What actions do you think can contribute to increasing the capacity to resist groupthinking in the supervised entity's bodies? Please describe (and if possible document) a selected situation within the last 3 years or since the statement made in the previous evaluation in which you demonstrated your ability to resist group thinking:

Date and signature:

SELF-ASSESSMENT QUESTIONNAIRE (being independent)	
relates to:	
Being independent - Supervisory Board Candidate / member	
	Answer
Within the last 3 years I am not and have not been employed by the Bank or its subsidiaries within the meaning of the Accounting Act or its parent company.	
Within the last 5 years I do not hold and have not held a function of a member of the Management Board or another managerial function in the Bank, its subsidiaries within the meaning of the Accounting Act, or its parent company.	
Within the last 3 years I am not and have not been an auditor, partner or employee of an entity that currently or within the last 3 years has provided auditing services to the Bank, its subsidiaries within the meaning of the Accounting Act, or its parent company.	
I am not a shareholder entitled to exercise 5% or more of the total number of votes at the Bank's General Meeting, I am not employed by such shareholder, I do not represent such shareholder in any way, nor do I have any other direct or indirect relations with such shareholder.	
I have not received and do not receive any additional remuneration in a significant amount from the Bank, its subsidiaries within the meaning of the Accounting Act or its parent company, except for the remuneration due for membership in the Supervisory Board, as well as remuneration in a fixed amount under a pension scheme for previous employment with the Bank, its subsidiary within the meaning of the Accounting Act or its parent company, provided that the condition for payment of such remuneration is not continuation of employment.	
I do not have or have had within the last year any significant business relationship with the Bank, its subsidiary within the meaning of the Accounting Act or its parent company, either directly or as a partner, shareholder, member of a body or an employee in a managerial capacity.	
I am not a member of the management board in another company where a member of the Bank's Management Board is a member of the supervisory board and I do not hold any other material relationships with members of the Bank's Management Board by participating in other companies or bodies;	
I am not, and have not been in the last three years, a close family member ¹ of a member of the Bank's Management Board or have no other direct or indirect relationship with a member of the Bank's Management Board and I am not, and have not been in the last three years, a close family member of an employee holding a managerial position in the Bank or persons referred to in the foregoing points.	
I have no direct or indirect relations with members of the Bank's Supervisory Board ² .	
I have no direct or indirect relations with companies related to the significant shareholders of the Bank, as defined in the Commercial Companies Code.	
I have not been a member of the Bank's Supervisory Board for more than 12 years.	
Other information in the scope that may influence the assessment of the financial standing and connected with, among others: (a) their financial standing and the state of their assets; (b) entry on a bad debtors list or negative entry on a list/register kept by a recognised credit reference agency; (c) the financial performance and results of operations of entities owned, managed or in which the Person Assessed for Suitability has or has had a significant interest; (d) declaration of consumer bankruptcy; (e) civil or administrative proceedings, major investments or exposures, and borrowings.	
Other circumstances affecting the independence assessment (please describe):	

¹ Close person, as defined in this questionnaire, is a spouse, cohabitant, relative, relative by affinity up to the second degree, and a person in a relationship of adoption, guardianship or custody with the candidate.

² If the only relationship with the Bank is currently serving as a Member of the Bank's Supervisory Board, mark "No."

Date and signature:	
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SELF-ASSESSMENT QUESTIONNAIRE (being independent Audit Committee)	
relates to:	
Being independent – Candidate / member of the Audit Committee	
	Answer
I belong or have belonged within the last 5 years from the date of appointment to executive management, including being or having been a member of the Board of Directors or another body of the Bank or a connected entity.	
I am, or have been within the last 3 years from the date of appointment, an employee of the Bank or a connected entity of the Bank (does not apply if the audit committee member is a non-executive employee who has been elected to the supervisory board or other supervisory or controlling body of the entity conducting the assessment as an employee representative).	
I control ¹ or represent persons or entities that control the Bank.	
I receive or have received additional remuneration ² , in a significant amount, from the Bank or a connected entity of the Bank, except for remuneration I have received as a member of the supervisory board or other supervisory or controlling body, including the audit committee.	
I have, or have had within the last year from the date of appointment, a significant business relationship with the Bank or its connected entity, either directly or as an owner, partner, shareholder, member of the supervisory board or other supervisory or controlling body, or a member of executive management, including a member of the management board or other governing body of an entity having such a relationship.	
I am, or within the last 2 years from the date of appointment have been, an owner, partner (including a general partner) or shareholder of the current or previous audit firm auditing the financial statements of the Bank or its connected entity.	
I am, or have been within the last 2 years from the date of appointment, a member of the Supervisory Board or other supervisory or controlling body of the present or previous auditing firm auditing the Bank's financial statements.	
I am, or have been within the last 2 years from the date of appointment, an employee or member of executive management, including a member of the management board or other governing body of the current or previous audit firm auditing the financial statements of the Bank or its connected entity.	
I am, or have been within the last 2 years from the date of appointment, other individual whose services were used or supervised by the current or previous audit firm or auditor acting on its behalf.	
I am a member of the Management Board or another managing body of an entity in which a member of the Supervisory Board or another supervisory or controlling body is a member of the Management Board of the Bank.	
I have been a member of the Bank's Supervisory Board for more than 12 years.	
I am a spouse, cohabitant, adoptee, guardian or custodian, or a relative in a straight line, and in the collateral line to the fourth degree - of a member of the Bank Management Board or a person referred to in the above points.	

¹ within the meaning of Art. 3.1.37.a-e of the Polish Accountancy Act of 29 September 1994, control over another undertaking is understood as the ability of an undertaking to manage the financial and operating policies of another undertaking in order to obtain economic benefits from its activities

² Additional remuneration includes participation in a stock option allocation or other performance-based compensation system; it does not include the receipt of fixed amounts of compensation under a pension scheme, including deferred compensation, for prior service with the Bank where continued employment is not a condition for payment of such remuneration.

REGULATORY JUSTIFICATION OF THE REQUIREMENTS		
Act on Statutory Auditors and Public Supervision	Commission of the European Communities	KNF
art. 129.	Recommendation of 15 February 2005 - Appendix II	Good practices for public interest entities regarding the rules of appointment, composition and operation of the audit committee Individual assessment form for audit committee member

SELF-ASSESSMENT QUESTIONNAIRE (combination of functions)							
relates to:							
Information on functions held in supervisory boards/non-executive directors							
#	Name of entity	Function/job title	Group of companies/institutional protection system	The Bank holds a significant block of shares ¹	Representative of the State Treasury	Currently holds/will hold	Area of activity
1							
2							
3							
4							
5							
6							

Combining positions in supervisory boards		Combining positions in supervisory boards showing the positions counted as one	
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Information on functions held in management boards/executive directors						
#	Name of entity	Function/job title	Group of companies/institutional protection system	The Bank holds a significant block of shares ¹	Currently holds/will hold	Area of activity
1						
2						
3						
4						
5						
6						

Total positions		Total positions in supervisory boards showing the positions counted as one	
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¹ 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 on the management of that undertaking.

² Positions in supervisory boards held in entities belonging to the same capital group or held in entities covered by the same institutional protection system and entities in which the Bank holds a significant block of shares are regarded as one.

Declaration on combinations of functions		
OF A MANAGEMENT BOARD MEMBER	Answer	Comment
I am or will be simultaneously a member of the management or supervisory board in entities belonging to the same group of companies.		
The number of functions held simultaneously exceeds or will exceed the functions of one member of the management board and two members of the supervisory board (does not apply to functions held in non-business entities and representatives of the State Treasury).		
My responsibilities include overseeing the management of risks that are material to the bank's operations. ³		
There is a circumstance of obtaining a consent for one additional function (relating to a significant body) in a body which will cause the number of functions set out in point 2 to be exceeded, requiring the European Banking Authority to be informed.		
OF A SUPERVISORY BOARD MEMBER		
I am simultaneously a supervisory board member in several entities belonging to the same group of companies.		
The number of functions held at the same time exceeds or will exceed four board members.		
There is a circumstance of obtaining a consent for one additional function (relating to a significant body) in a body which will cause the number of functions set out in point 2 to be exceeded, requiring the European Banking Authority to be informed.		

Date and signature:

³ The position of the President of the Management Board cannot be combined with the position of the Member of the Management Board supervising the management of risk significant for the Bank's operations, nor can the President of the Management Board be entrusted with the supervision of the management of such risk. A Management Board Member supervising the management of significant risk may not be entrusted with the supervision of an area of the bank's activity which creates a risk that he/she supervises.

SELF-ASSESSMENT QUESTIONNAIRE (time commitment)											
relates to:											
Declaration											
I have been informed of the minimum time commitment required for the proper performance of my duties and declare that I am willing to put in the time	I am willing to commit more time during particularly busy periods, such as restructuring or other emergencies.			Current place of residence			Approximate commute time from home to the place of work/office (total hours per year)				
Time spent on other positions/functions											
Position/function	Name of entity	Entity from the same group of companies	Core business	Size of the entity (micro, small, medium, large)	Place of performing the duties (country, town)	Current time commitment		Planned time commitment			
						Meetings per year	Days per year	Meetings per year	Days per year	Commute time (per year)	
Synergies in connection with functions performed within the same group of companies (Concurrent duties performed at the same time as part of exercising several functions within the group of companies with particular regard to acting on behalf of the Bank or as a substitute member of the Bank's Body)											
Positions in which the synergy occurs		Description of duties		Time currently saved through synergy (days per year)			Planned time savings through synergy (days per year)				
Total time commitment (without the synergy)		Total time commitment (including the synergy)									
Date and signature:											

Information on the Data Controller	
Data controller	The data controller is Bank Polska Kasa Opieki Spółka Akcyjna with registered office in Warsaw at Grzybowska Street 53/57 (hereinafter also referred to as the “Bank”).
Contact details	The administrator can be contacted via e-mail: info@pekao.com.pl, by phone at 801 365 365, (22) 59 12 232 or in writing: Bank Pekao SA - Centrala, ul. Grzybowska 53/57, 00-844 Warszawa. The controller has appointed a Data Protection Officer, who can be contacted via email: IOD@pekao.com.pl, by phone at 801 365 365, (22) 59 12 232 or in writing: Bank Pekao SA - Centrala, ul. Grzybowska 53/57, 00-844 Warszawa. The Data Protection Officer may be contacted in matters related to the processing of personal data and exercising the rights related to the processing of personal data.
Purposes of processing and legal basis for processing	<p>Your personal data will be processed for the purpose of:</p> <ul style="list-style-type: none">- carrying out the process of your appointment as a Supervisory Board Member or Management Board Member or your appointment to perform a Key Function in the Bank and to perform the function of a the Bank's Supervisory Board Member or Management Board Member or to perform a Key Function in the Bank, including for the purpose of assessing your suitability, bearing in mind that members of the Bank's Management Board and Supervisory Board as well as persons performing Key Functions in the Bank should have knowledge, skills and experience commensurate to their functions and duties entrusted to them and provide a guarantee of the due performance of such duties – the basis for processing personal data are: the provisions of the Banking Law Act, the provisions of the Act on the National Court Register, with regard to the data on criminal records, the provisions of the Commercial Companies Code and the Act of 12 April 2018 on the principles for obtaining information on the criminal record of persons applying for employment and persons employed in financial sector entities with regard to offences listed in those acts and the legitimate interest of the Bank. The legitimate interest of the Bank is, in particular, the possibility of conducting a reliable assessment of persons who will be Members of the Bank's Supervisory Board;- to pursue other legitimate interests of the Bank, which the Bank considers to be in particular the possibility of pursuing and defending claims, preventing fraud and economic crimes; the basis for the processing of personal data are the Bank's legitimate interests referred to above. <p>If you are appointed as a member of the Bank's Supervisory Board or as a member of the Management Board or to perform a Key Function in the Bank, your data may be processed for various purposes in connection with the civil law agreement concluded with you, including in particular such purposes as:</p> <ul style="list-style-type: none">• conclusion and performance of a civil law contract,• performing activities related to contractual duties and entitlements, professional qualifications, including the delivery of training,• preparing documentation and reports for audits and inspections carried out by state authorities as well as for reporting by companies listed on the stock exchange,• managing relationships with associates,• performing activities related to possible liability resulting from the cooperation, including determining and asserting possible claims,• entrusting the property to you as the recipient of the property,• possibly entrusting an associate with the Bank's property,• fulfilling the obligations arising from the law in the scope relating to associates (also concerning the details of members of your family), including the social security system, health insurance, taxes, accidents at work, accounting, military service duty – if applicable,• organise and co-finance additional benefits from the Bank's funds,• ensuring security on the premises of the Bank's branches, including information security and observance of banking secrecy, as well as controlling the proper use of work tools provided by the Bank, through the monitoring of business e-mail, monitoring activity on the Internet or IT systems with the use of tools entrusted by the Bank, video surveillance in the workplace, the possibility of identifying a person present on the premises with an ID badge,• provide financial, administrative and IT support to associates.• maintain a file (on the intranet) accessible to the Bank's employees as well as the Bank's associates on the basis of civil law contracts,• conducting internal recruitment processes in the Bank. <p>The legal basis for the processing of your personal data is:</p> <ul style="list-style-type: none">• necessity of concluding and performing a civil law contract,• legal provisions – within the scope of obligations arising from these provisions, including the provisions of the Civil Code, social insurance system, health insurance, taxes, accidents at work, accounting, on the basis of obtaining information about the clean criminal record of applicants for employment and persons employed in the financial sector entities,• Legitimate interests of the controller, i.e. ensuring security on the premises of the Bank's outlets (including information security and observance of banking secrecy, also by means of video surveillance on the premises of the Bank), management of property entrusted to associates and control of the proper use of work tools provided by means of monitoring business e-mail, monitoring activity on the Internet or IT systems with the use of tools entrusted by the Bank, the possibility to identify a person present on the premises of the Bank with an ID tag, as well as financial, administrative and IT services and conducting internal recruitment processes in the Bank;
Recipients of the data	<p>Your personal data may be disclosed to other employees of the Bank in connection with the performance of a civil-law contract and to entities processing data on behalf of the controller (e.g. IT service providers), whereby such entities process data on the basis of a contract with the controller and exclusively on the controller's instructions.</p> <p>Detailed information on data recipients can be found on the website at www.pekao.com.pl/RODO</p>
Data transfers outside the European Economic Area	<p>Your personal data may also be transferred to certain subcontractors of IT system providers, i.e. recipients located in countries outside the European Economic Area, for which the European Commission has not established an adequate level of personal data protection. The transfer of personal data is based on standard data protection clauses.</p> <p>Recipients located in countries outside the European Economic Area have implemented adequate or appropriate safeguards for your personal data.</p>
Data retention period	<p>Your personal data:</p> <ul style="list-style-type: none">(a) with regard to data processed in connection with the performance of a civil law contract will be processed for a period resulting from the limitation period for potential claims under the generally applicable law,(b) with regard to data contained in tax or accounting documentation processed in order to fulfil legal obligations incumbent on the controller, the data will be processed until such obligations are fulfilled,(b) with regard to data contained in payrolls, payroll records or other proofs which are used to establish the basis for the calculation of a pension or disability benefit will be processed for the duration of the civil law claim and, respectively, 50 or 10 years from the date of its termination in accordance with applicable legal provisions.c) to the extent that the basis for processing is the legitimate interest of the Bank, your personal data will be stored for a period until the fulfilment of the legitimate interests of the controller constituting the basis for processing or until you object to such processing.(d) to the extent that the legal basis is provided by the provisions of the Act on the principles of obtaining information on the clean criminal record of applicants for employment and persons employed in financial sector entities, for a period of 5 years from the date of obtaining data or the last verification of data.(e) with regard to personal data activity on the Internet or in IT systems with the use of tools entrusted by the Bank or data in the form of an image recorded via video surveillance (without sound), personal data will be processed until the fulfilment of the Bank's legitimate interests constituting the basis for such processing or the possible allowance of objections to such processing or for the period necessary to fulfil obligations imposed by law. In justified cases (e.g. to provide evidence), recordings or data contained in entrance registers may be stored for longer periods of time for the needs of fulfilling a legal obligation imposed on the Bank or for conducting internal investigations or other proceedings, e.g. in court.(f) With regard to data collected with the use of a GPS locating device (in the case of entrusting a car), personal data will be processed until revocation of consent or until the fulfilment of the Bank's legitimate interests constituting the basis for such processing or the possible taking into account of objections to such processing or for the period necessary to fulfil obligations imposed by law. However, the withdrawal of consent shall not affect the lawfulness of processing carried out on the basis of the consent given before the withdrawal.
Rights of the person to whom the data applies	<p>You have the right to access your data and to request their rectification, deletion or restriction of their processing. Upon your request, the controller will provide a copy of the personal data being processed.</p> <p>To the extent that the basis for the processing of your personal data is the premise of a legitimate interest of the controller, you have the right to object to the processing of your personal data on grounds related to your particular situation.</p> <p>To the extent that the processing of your personal data is based on consent, you have the right to withdraw your consent. Withdrawing the consent shall not affect the lawfulness of processing carried out on the basis of the consent given before the withdrawal.</p> <p>To the extent your data are processed in order to conclude and perform an agreement or processed on the basis of a consent – you also have the right to data portability, i.e. to receive your personal data from the controller in a structured, commonly used format suitable for machine reading. You may transfer the data to another controller or request that we transfer the data to another controller. However, the Bank will only do this if it is technically feasible. The right to data portability only applies to personal data that we process on the basis of an agreement with you or on the basis of your consent.</p> <p>In order to exercise the above rights, please contact the data controller or the Data Protection Officer. Contact details are indicated above.</p> <p>You also have the right to lodge a complaint to the supervisory authority in charge of personal data protection, i.e. The President of the Personal Data Protection Office (Prezes Urzędu Ochrony Danych Osobowych, Stawki 2, 00–193 Warszawa).</p>
Information on the requirement to provide data	<p>The obligation to provide personal data is a statutory requirement to the extent specified in the provisions of the Banking Law and the Commercial Companies Code, as well as social or health insurance, tax and accounting regulations (if you are appointed as a member of the Supervisory Board). Without providing such data, you cannot participate in the process of appointment to the position of a Member of the Bank's Supervisory Board, and subsequently perform this function.</p> <p>Providing data in connection with the conclusion of a civil law contract is voluntary but necessary for its conclusion and performance. Without providing such data it will not be possible to conclude an agreement with the Bank. The obligation for you to provide data may arise in particular from the provisions of law indicated above, in the section on legal basis. Without providing such data, you cannot, in particular, participate in the process of appointment as a member of the Bank's bodies and subsequently perform this function.</p> <p>Providing data for the purposes specified in the consent is voluntary.</p>

I, the undersigned, declare that I have read the Information on the Personal Data Controller in which the controller of my personal data is indicated and I acknowledge the fulfilment of the information obligation by the personal data controller.

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Date and signature:	
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CONSENT TO RECRUITMENT AND CONSENT TO PROCESSING SENSITIVE DATA

I hereby give my consent to Bank Polska Kasa Opieki Spółka Akcyjna with its registered office in Warsaw at Grzybowska 53/57 Street to process my personal data provided in the recruitment documents (e.g. CV, cover letter, personal assessment questionnaire) and collected during a potential interview for the purposes of recruitment in the current recruitment process.

I consent to the processing of the special categories of data referred to in Article 9(1) of the GDPR (data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership, genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health, sex life or sexual orientation of a person) that I have included in the motivational letter and the documents attached thereto.

Date and signature: