

**Questionnaire**  
**for assessment of professional qualifications, trustworthiness and**  
**experience of a senior officer (bank, cooperative savings**  
**association, branch of a foreign bank, investment intermediary) or**  
**of a person proposed for an executive managerial position in a**  
**financial holding entity**

I.

IDENTIFICATION OF THE SENIOR OFFICER OR OF THE PERSON  
PROPOSED FOR AN EXECUTIVE MANAGERIAL POSITION, AND  
INFORMATION TO PROVE PROFESSIONAL QUALIFICATIONS,  
TRUSTWORTHINESS AND EXPERIENCE

**1. Basic details**

<b>Name(s) and surname</b>			
<b>Maiden name</b>			
<b>Birth number<sup>1/</sup></b>	<b>Date of birth</b>		
<b>Place of birth (country, district, municipality)</b>			
<b>State citizenship</b>			

**2. Specify where the senior officer or the person proposed for an executive managerial position is to perform the duties**

<input type="checkbox"/> <b>bank</b> <input type="checkbox"/> <b>cooperative savings association</b> <input type="checkbox"/> <b>branch of a foreign bank</b> <input type="checkbox"/> <b>investment intermediary</b> <input type="checkbox"/> <b>financial holding entity</b>
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## A. Basic information

3. Description of the placement of the position to which the assessed person is to be elected within the organizational structure of the entity or, as the case may be, draft changes to its organizational structure (if any), including a graphic representation of the organizational structure of the entity – this information may be attached as an annex.

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4. Description of the job content of the position to which the assessed person is to be elected or appointed, including its expected competence and powers (duties, responsibility)<sup>2/</sup>

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## B. Previous applications

### 5. Information on a previous application

Have you (or some other person on your behalf) ever in the past lodged an application for a prior consent to performance of the duties of a senior officer with a supervisory authority in the Czech Republic and/or have you ever been a subject of assessment by a supervisory authority in the Czech Republic in connection with your nomination for performance of the duties of a senior officer?

<input type="checkbox"/> YES	If YES, give details.
<input type="checkbox"/> NO	

## C. Further personal data and information

### 6. Information for the assessment of eligibility

<b>6.1. Is your legal capacity limited?</b>		
<input type="checkbox"/> YES		
<input type="checkbox"/> NO		
<b>6.2. Has any fact occurred in relation to you that is an obstacle to operation of a trade pursuant to the act that regulates business in trade?</b>		
<input type="checkbox"/> YES, it has	If YES, give details.	
<input type="checkbox"/> NO, it has not		
<b>6.3. What positions do you hold or intend to hold concurrently with the position of a senior officer?</b>		
<input type="checkbox"/> None	If you intend to concurrently hold any other positions, give the following details:	
Name of the position	Corporate name	Identification number

## **D. Information on credibility of the person**

### **7. Information on a decision on punishment in criminal, administrative or other similar proceedings**

<b>7.1. Have you been validly convicted for a criminal offence?</b>	
<input type="checkbox"/> YES	If YES, give brief details and substantiate the stated facts with a final decision.
<input type="checkbox"/> NO	
<b>7.2. Have you been imposed a penalty exceeding CZK 20,000 or prohibition of activities or some other remedial measure or duty to provide indemnification, through a final decision during the last 10 years, for a misdemeanour or some other administrative tort?</b>	
<input type="checkbox"/> YES	If YES, give brief details.
<input type="checkbox"/> NO	
<b>7.3. Have you been imposed a penalty exceeding CZK 20,000 or prohibition of activities or some other remedial measure or duty to provide indemnification, through a final decision during the last 10 years, for any misdemeanour or some other administrative tort resulting from infringement of any legal duty in connection with performance of your employment, office or business activities?</b>	
<input type="checkbox"/> YES	If YES, give brief details.
<input type="checkbox"/> NO	

### **8. Information on prosecution in criminal, administrative or other similar proceedings that is not included in subparagraphs 7.1 to 7.3 above**

<b>8.1. Has criminal prosecution been initiated against you during the last 10 years?</b>	
<input type="checkbox"/> YES	If YES, give brief details and substantiate the stated facts with the accusation or indictment.
<input type="checkbox"/> NO	
<b>8.2. Have misdemeanour proceedings or other similar proceedings been initiated against you during the last 10 years as a result of infringement of any legal duty in connection with performance of your employment, office or business activities, except for proceedings on misdemeanours or other similar proceedings where pecuniary fines not exceeding CZK 20,000 may be imposed?</b>	
<input type="checkbox"/> YES	If YES, give brief details.
<input type="checkbox"/> NO	

### **9. Details on a decision and on initiation of civil proceedings or arbitration proceedings**

<b>9.1. Specify whether a decision has been issued with respect to you during the last 10 years in civil proceedings or arbitration proceedings, provided that this is related to your activities on the financial market or provided that this may substantially endanger your financial situation, or whether such proceedings are in progress and have not yet been closed through a final decision.</b>	
<input type="checkbox"/> YES	If YES, give brief details.
<input type="checkbox"/> NO	
<b>9.2. Has a decision on insolvency been issued with respect to you during the last 10 years, or has a court dismissed an insolvency petition because your assets did not suffice to cover the costs of insolvency proceedings, or has bankruptcy been declared against your assets, has such bankruptcy been cancelled, settlement permitted, forced settlement confirmed or a bankruptcy petition dismissed for insufficient assets during the last 10 years?</b>	
<input type="checkbox"/> YES	If YES, give brief details.
<input type="checkbox"/> NO	

## 10. Other facts that may affect credibility

<b>10.1. Has a decision on insolvency been issued with respect to a legal entity controlled by you during the last 10 years, or has a court dismissed an insolvency petition because its assets did not suffice to cover the costs of insolvency proceedings, or has bankruptcy been declared against the assets of the legal entity controlled by you, has such bankruptcy been cancelled, settlement permitted, forced settlement confirmed or a bankruptcy petition dismissed for insufficient assets during the last 10 years?</b>	
<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>If YES, specify the firm / corporate name of the legal entity, identification number and details.</b>
<b>10.2. Have you performed activities as the statutory body or as a member of the statutory or supervisory body of a legal entity or as a person authorized to act for a legal entity on the basis of some other fact for a period of up to 3 years before a decision was issued on insolvency of this legal entity or before an insolvency petition was dismissed because its assets did not suffice to cover the costs of insolvency proceedings, or for a period of up to 3 years before bankruptcy was declared against the assets of this legal entity or before settlement was permitted, or within 3 years before receivership was imposed on this legal entity?</b>	
<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>If YES, specify the firm / corporate name of the legal entity, identification number and details.</b>
<b>10.3. Has your business licence or authorization for some other activities been suspended or revoked, or has a court or an administrative authority refused to grant a consent to your election or appointment to a position, provided that this election or appointment required such a consent?</b>	
<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>If YES, give brief details.</b>

## 11. Information on credibility of the person from the viewpoint of membership in professional chambers

<b>11.1. Have you been expelled, during the last 10 years, from any professional union, chamber or association, including abroad?</b>	
<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>If YES, give brief details.</b>
<b>11.2. Have you performed, during the last 10 years, activities as the statutory body or as a member of the statutory or supervisory body of a legal entity, or as a person authorized to act for a legal entity on the basis of some other fact at the time when this legal entity was expelled from any professional union, chamber or association, including abroad?</b>	
<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>If YES, give brief details.</b>

## 12. Give information on other facts that may affect your credibility; if appropriate, furnish the relevant documents.

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**II.**  
**DECLARATION**

I hereby declare that the information specified in this questionnaire is true, up-to-date and complete.

In
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Date:
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By:
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<sup>1/</sup> Shall be stated if assigned.

<sup>2/</sup> This description may be replaced by an internal regulation that regulates the duties to be performed by the assessed person, including the competence and powers following from this position.