



Transilvania Investments

INFORMATION REGARDING THE SUBMISSION AND SETTLEMENT OF PETITIONS

The protection of investors' rights and interests represent a priority for Transilvania Investments Alliance, and if these are claimed to have been breached the company undertakes to make all necessary efforts to rapidly and effectively settle the claims, and to treat the investors in a professional, just and undiscriminating manner.

Shareholders' basic rights, whose breach may be subject to petitions, are those provided by the legislation in force and in the Company's Corporate Governance Code, respectively the right to participate and vote in the shareholders' general meetings, the right to access sufficient information on the issues subject to the approval of the general meeting, the right to address questions regarding the items on the agenda of the general meeting, the right to convene the shareholders' general meeting under the conditions provided by law, the right to add items on the agenda of the general meeting, the right to present draft resolutions for the items included/proposed for inclusion on the agenda of the general meeting, the right to dividends and the right to information (periodically and continuous provided by the capital market legislation).

1. Definitions

By petition is understood the request, claim or notice by which the company is informed on the incidents that may affect the rights or interests of the petitioner, formulated in writing and submitted at the company's headquarters, sent by mail or electronic mail or on-line or by any other means of communication that can be recorded on a physical or optical medium (e.g. telephone), by which a petitioner or its trustees, who act exclusively in the name of the petitioner and without own commercial interest, express their dissatisfaction regarding the activity carried out by the company and which is subject to F.S.A. supervision, or regarding the information provided by the company following requests for information received from the petitioners.

By petitioner, in the context of this procedure, is understood any natural person or legal entity, in the capacity of investor (shareholder) of the company, or trustee, or heir of the investor, submitting a petition to the company regarding the activity carried out by the company.

2. Minimum content of the petition

Petitions sent to the company shall include the following information:

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Transilvania Investments
Alliance S.A.

Str. Nicolae Iorga 2,
Braşov 500057, România

Tel.: +40 268 415 529
Tel.: +40 268 416 171

office@transilvaniainvestments.ro
www.transilvaniainvestments.ro

CUI/CIF: RO 3047687
R.C. J1992003306085

Autorizată A.F.I.A.:
Autorizaţie ASF nr. 40/15.02.2018

Autorizată F.I.A.I.R.:
Autorizaţie ASF nr. 150/09.07.2021

Cod LEI (Legal Entity Identifier):
254900E2IL36VM93H128

Capital social:
212.644.000 lei

Nr. Registru ASF:
PJR071AFIAA/080005

Nr. Registru ASF:
PJR09FAIR/080006

IBAN B.C.R. Braşov:
RO08 RNCB 0053 0085 8144 0001

Societate administrată în sistem dualist

- **identification data of the petitioner:** name, first name, personal identification code and address, for natural persons, respectively company name, TIN and address, for legal entities;
- **contact data:** telephone number, fax or email address;
- **capacity in which the petition is formulated:** shareholder, legal representative of the shareholder legal entity, trustee or heir of the shareholder;
- **clear indication of the object of the petition.**

Petitions sent to the company shall be accompanied by the following documents, as appropriate:

- copy of the petitioner's natural person identity card (certified „true copy”);
- copy of the ascertaining certificate issued by the Trade Register attesting to the petitioner's capacity of legal representative of the legal entity (certified „true copy”);
- copy of the power of attorney, if the petitioner is trustee of the shareholder (certified „true copy”);
- copy of the inheritance certificate, if the petitioner is heir of the shareholder (certified „true copy”).

3. Methods for submitting the petitions

The petitions shall be submitted in written form by one of the following methods:

- **submission to the Company's headquarters** in Braşov, 2 Nicolae Iorga, from Monday to Friday, during working days, between 8:30 a.m. – 5:00 p.m.;
- **by mail**, at the company headquarters in Braşov;
- **by fax**, at the fax number 0268 473215;
- **by email**, at the address actionari@transilvaniainvestments.ro or investitori@transilvaniainvestments.ro;
- **online**, on the Company's website www.transilvaniainvestments.ro, by filling in the petition on-line form available under section „Petitions”;

Petitions can be sent in Romanian or English.

4. Petition registration

Transilvania Investments Alliance records the petitions received from shareholders in its **Unique Register of Petitions** and at the Company's Register Office, in the Entry/Exit General Register. The unique register of petitions is created in an electronic and information secure format, in accordance with legal provisions.

All entries in the unique register of petitions within one calendar year and their centralized total is kept by the company for a five-year period from the moment of the initial petition submission.

5. Petition settlement

The Company, through the Corporate Governance Department, will draft the response to the petitions, by observing the chronologic order of their registration.

If you consider that the company's response does not answer/is in contradiction with your request, respectively the petition is unfavourably resolved, you are entitled to address the competent bodies and authorities and to use the methods of amicable settlement of disputes provided by the legal provisions in force, respectively to submit an individual petition/claim to the Financial Supervisory

Authority (F.S.A), and if you are not satisfied by the solution of the competent authority, you are entitled to address the court of law.

Information on the submission of petitions to F.S.A. can be obtained by consulting the website: www.asfromania.ro, the *Consumers/Petitions* Section and the *Consumers/SAL-Fin* Section.

Anonymous complaints, as well as the complaints in which licentious language is used will not be considered, i.e. they will not be registered and they will be classified.

If the object of the petition is not clearly specified, you will be contacted by the Company, through the Corporate Governance Department and you will be asked to consider reformulating the complaint and clearly specifying your request. In this situation, the legal deadline for solving the petition is calculated from the registration date of the reformulated petition.

If the petition is not in connection with the activity of the company subject to the F.S.A supervision, it will not be subject to this procedure, and you will be informed in this regard by the Company, through the Corporate Governance Department.

If the petition is erroneously addressed to our company, you will be contacted by the Company, through the Corporate Governance Department, and you will be indicated, if possible, the institution or company to which you should address to.

If the petition refers to facts for the clarification of which laborious documentation is necessary, the deadline for resolution will be extended accordingly, and you will be informed that the petition is being solved, and you will receive a response.

6. Telephone complaints

If you contact the company by phone to express your dissatisfaction, the representatives of the Corporate Governance Department will provide you with the necessary explanations or information to clarify the situation complained of.

The phone numbers you can contact us at are 0268 401141, 401142.

If, following the discussions, you are not satisfied by the explanations received, you are entitled to formulate a written petition, under the above-mentioned conditions, to which you will receive an official response.

If you are satisfied by the explanations received over the phone and do not submit a written petition, the verbal complaint is considered resolved.

Telephone complaints that are not followed by the submission/sending of a written petition are not considered petitions and consequently are not subject to the procedure on the resolution of petitions, which is why they will not be registered in the unique register of petitions.

7. Communication of the response to the petitioners

The response formulated by the company is registered in the unique register of petitions held by the compliance officer and at the Company's Register Office, in the general entry/exit register.

The Company shall send the response to the petition as soon as possible, without exceeding 30 days from the date of its registration, regardless of whether the petition is resolved favourably or unfavourably.

In exceptional situations, where the issues raised in the petition require a more thorough investigation, the deadline for submitting the response may be extended by no more than 15 days, in which case you will be informed of the reasons for the delay.

If you expressly request written information on the internal petition process for the company in your petition, the Company will provide you with such information.

For the petitions sent by mail, fax or e-mail, the company will send the response by the same way or by the method expressly requested in the petition.

For petitions submitted to the Company's headquarters or sent by filling in the online form available on the Company's website, the response will be sent to the postal address mentioned in the petition or by the method expressly requested in the petition.

Non- resident shareholders who submitted the petition in English will receive the response in English as well.

Information on the status of the resolution of petitions submitted to Transilvania Investments Alliance can be obtained from the Corporate Governance Department, at the telephone number 0268 401141, 401142, or by e-mail at actionari@transilvaniainvestments.ro or investitori@transilvaniainvestments.ro.

8. Reporting obligations

In accordance with the provisions of the F.S.A Regulation no. 9/2015 on the settlement procedure by the entities regulated and supervised by the Financial Supervision Authority under Law no. 297/2004 on the capital market and of Law no. 74/2015 on the alternative investment fund managers of the petitions regarding their activity on the capital market, Transilvania Investments Alliance has the following reporting obligations:

8.1. The Company submits quarterly to the Financial Supervision Authority an electronic copy of the Unique register of petitions, according to the template provided in Annex no. 1 of the F.S.A. Regulation no. 9/2015.

8.2. The Company submits quarterly and annually to the Financial Supervision Authority the reports provided in Annex no. 2 of the F.S.A. Regulation no. 9/2015.

8.3. The Company submits to the Financial Supervision Authority, for each request received from the Authority in connection to the manner of solving a petition, a substantiation note and all the information and documents available for verifying the manner of solving the respective petition.

Marius-Adrian Moldovan
Executive President