



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 by on-line system, by which a petitioner or its trustees, who act exclusively in the name of the petitioner and without own commercial interest, expresses its dissatisfaction on the activity carried out by the company and which is subject to F.S.A. supervision.

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.

2. Minimum content of the petition

Petitions sent to the company must contain the following information:

- **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;
- **concise definition of the object of the petition.**

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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. J08/3306/1992

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

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

Cod LEI (Legal Entity Identifier):
254900E2IL36VM93H128

Capital social:
216 244 379,70 lei

Nr. Registru ASF:
PJR071AFIAA/080005

Nr. Registru ASF:
PJR09FAIR/080006

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

Petitions sent to the company must be accompanied by the following documents, as required:

- 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. Method for sending the petitions

Sending of the petition in written form can be made by one of the following methods:

- **submission to the headquarters** of the Company in Braşov, 2 Nicolae Iorga Street or to the headquarter of the Bucharest branch, 35 Maria Rosetti Street, from Monday to Friday, during working days, between 8:30 a.m. – 5:00 p.m.;
- **by mail**, at the headquarter of the company in Braşov or to the headquarter of the Bucharest branch, at the above-mentioned addresses;
- **by fax**, at the fax numbers 0268 473215 or 0268 473216;
- **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 in the Company's Register Office, in the Entry/Exit General Register. The unique register of petitions is created in 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 period of five years from the moment of the initial petition submission.

5. Petition settlement

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

If you consider that the settlement of the company does not answer/is in contradiction with your request, respectively the petition is unfavorably settled, you are entitled to address the competent bodies and authorities and to amicably use the settlement methods of the litigations provided by the legal dispositions in force, respectively addressing one individual petition/claim to the Financial Supervisory Authority (F.S.A), and if you are not satisfied by the settlement of the competent authority, you are entitled to address the court of law.

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

Anonymous claims, as well as the claims displaying foul language will not be taken into consideration, respectively will not be registered and will be classified.

If the object of the petition is not clearly specified, you will be contacted by the Company, by the Corporate Governance Department and you will be requested to reformulate the claim and to clearly

specify your request. In this case, the legal settlement term of 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 thus 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 whom you should address to.

If the object of the petition is constituted by acts for whose clarification a labored documentation is necessary, the settlement term will be extended correspondingly, and you will be informed that the petition is under way of settlement, for which you will receive an answer.

6. Claims by telephone

If you contact the company by telephone so as to express your dissatisfaction, the representatives of the Corporate Governance Department will offer you the explanations or information necessary for the clarification of the situation claimed.

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, at which you will receive an official answer.

If you are satisfied by the explanations received by telephone and you do not send a written petition, verbal claim is considered settled.

The claims made by telephone and not followed by the submission/sending of a written petition are not considered and consequently are not subject to the procedure on petition settlement, reason for which they will not be registered in the unique register of petitions.

7. Communication of the answer to the petitioners

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

The Company will send the answer to the petition as soon as possible, without exceeding 30 days from its registration date, regardless of whether the petition is favorably or unfavorably settled.

In exceptional situations, in which the aspects notified in the petition require more detailed research, the term for sending the answer can be extended with at most 15 days, case in which you will be informed on the reasons for delay.

If, in the petition sent to the Company, you expressly request written information on the internal petition settlement process, the Company will provide you with such information.

For the petitions sent by mail, fax or email, the company will send the answer by the same method or by the method expressly requested in the petition.

For the petitions submitted at the Company's headquarters or sent by filling in the on-line form available on the Company's website, the answer will be sent by post at address mentioned in the petition or by the method expressly requested in the petition.

Non- resident shareholders who sent the petition in English will receive the answer in English.

Information on the settlement status of the petitions submitted to Transilvania Investments Alliance can be obtained from the Corporate Governance Department, at the telephone number 0268 401141,

401181 or by email at the addresses 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 sends on a quarterly basis to the Financial Supervision Authority a copy in electronic format 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 sends to F.S.A. on a quarterly and annually basis the reports provided in Annex no. 2 of the F.S.A. Regulation no. 9/2015.

8.3. The company sends to F.S.A., for each request received from this authority in connection to the settlement method of a petition, a foundation note and all information and documents available for the verification of the settlement method of the respective petition.

Radu-Claudiu Roşca
Executive President/CEO