

# **KAN questionnaire for assessing suitability for performing the function of a member of the management body of a bank or savings bank**

## **Introductory notes**

The responses in the questionnaire are used in the assessment of the suitability of a candidate to be a member of the management body (hereinafter: candidate) of a bank or savings bank (hereinafter: bank) from the perspective of his/her skills, knowledge and experience, reputation, management of conflicts of interest, independence and time commitment, and the suitability of the management body as a collective by the Bank of Slovenia and by the European Central Bank (hereinafter: the ECB) when it is competent and responsible for conducting supervision of the bank in accordance with Council Regulation (EU) No 1024/2013 conferring specific tasks on the European Central Bank concerning policies relating to the prudential supervision of credit institutions (hereinafter: Regulation (EU) No 1024/2013):

- a) in the procedure to grant an authorisation to perform the function of a member of the management board of a bank in a two-tier governance system or an executive director of a bank in a single-tier governance system, the liquidator of a bank or the managing director of a branch of a third-country bank, or
- b) in the procedure to assess the fulfilment of the conditions for appointment as a member of the supervisory board of a bank in a two-tier governance system or as a non-executive director of a bank in a single-tier governance system.

The information obtained with this questionnaire shall be treated as confidential in accordance with Article 14 of the Banking Act (hereinafter: the ZBan-2), and shall be used solely for the purposes set out in Article 15 of the ZBan-2. Confidential information may only be forwarded or disclosed to third parties under the conditions set out in the ZBan-2.

The ECB privacy statement is available on the Bank of Slovenia website.<sup>1</sup>

## **Instructions for completing the questionnaire**

The KAN questionnaire is completed by the candidate, who is responsible for ensuring that the information submitted to the Bank of Slovenia is accurate and complete. By signing the declaration he/she provides a guarantee for all the information stated in the questionnaire.

The questionnaire should be completed accurately and in full. Inaccurate or incomplete information causes delays in the processing of the questionnaire. Whether provided by intent or negligence, false, incomplete or misleading information may lead to doubts as to the candidate's suitability and may also be grounds for action by the Bank of Slovenia or the ECB against the member of the management body in accordance with the ZBan-2 and Regulation (EU) No 1024/2013.

In addition to the aforementioned information, the candidate is required to disclose all matters of which it can reasonably be presumed that the Bank of Slovenia and the ECB should be informed.

When the candidate does not wish to answer a particular question, reasons should be cited for such. When the information does not exist, the candidate should mark a cross. The candidate may not leave any fields blank.

---

<sup>1</sup><http://www.bsi.si/nadzor-bank.asp?MapaId=2087>

Where questions relate to a partner and/or shareholder, the Bank of Slovenia's assessment will consider whether that partner and/or shareholder plays an active role in the company in question (in terms of their participating interest in the company and whether they have a significant influence on the governance of the company).

Any queries in connection with completing the questionnaire may be addressed to [licenciranje@bsi.si](mailto:licenciranje@bsi.si).

**1 Candidate's declaration**

I, the undersigned:

confirm that the information provided in this questionnaire is accurate and complete to the best of my knowledge;

confirm that I will notify [bank/savings bank] and the Bank of Slovenia immediately of any material change\* in the information provided;

authorise the Bank of Slovenia to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the fit and proper assessment, including authorisation from the following entities and individuals:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

confirm that I am aware of responsibilities arising from the European and national legislation and international standards, including regulations, codes of practice, guidance notes, guidelines and any other rules or directives issued by the ECB, by national competent authorities and by the European Banking Authority (hereinafter: the EBA) that are of relevance to the function for which a positive assessment of suitability is sought, and also confirm the intention to ensure continued compliance with them.

**To be completed by a candidate to be a member of the management body of a bank that is defined as a significant credit institution** in accordance with Article 6(4) of *Council Regulation (EU) No 1024/2013 conferring specific tasks on the European Central Bank concerning policies relating to the prudential supervision of credit institutions* and Part IV and Article 147(1) of *Regulation (EU) No 468/2014 of the European Central Bank establishing a framework for cooperation within the Single Supervisory Mechanism between the European Central Bank and national competent authorities and with national designated authorities (SSM Framework Regulation)*.

pursuant to Article 24 (2) of the SSM Framework Regulation, I accept the use of \_\_\_\_\_ (*state language*) in all pertinent written communications, including in connection with the ECB's supervisory decisions with regard to my suitability for performing the function of a member of the management body of a bank.

First name and surname:

Signature:

Date:

\*A material change is any change that could affect the candidate's suitability assessment

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

### 2 Information on the bank and the candidate

<b>a)</b>	<b>Information on the bank</b>	
	Bank in connection with which the application is being submitted	

<b>b)</b>	<b>Candidate's personal information</b>	
	<b>Name</b>	
	Title	
	Surname	
	First name	
	Middle name(s)	

	<b>Previous name</b>	
	Title	
	Surname	
	First name	
	Middle name(s)	
	Date of and reason for change	

	<b>Permanent residence</b>	
	Address	
	City	
	Country	
	Starting date of residence at this address	

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

<b>Temporary residence (if any)</b>	
Address	
City	
Country	
Starting date of residence at this address	

<b>Address for deliveries</b>	
Address	
City	
Country	

<b>Other information</b>	
Date of birth	
Country and city of birth	
Nationality	
Current valid ID card / passport number	
Country of issue of ID card / passport	
Date of expiry of ID card / passport	
Contact telephone number (including international dialling code)	
Email address	

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

c) Previous regulatory authorisations issued/approved for the financial sector in Slovenia or in the rest of the world:						
	Competent authority deciding on authorisation	Institution involved	Candidate's function to which authorisation related	Start date of function	Date of assessment by competent authority	Result of assessment (in the case of rejection or refusal, cite reasons in the space below)
<b>Reasons for rejection or refusal of request for granting of authorisation:</b>						
<b>Have you ever had an authorisation referred to in point c) withdrawn, conditionally withdrawn, revoked or terminated?</b>						<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please give details.						
<b>Have you ever been disqualified from performing the function of member of a bank's supervisory board?</b>						<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, please give details.						

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

### 3 Function that is the subject of the questionnaire

<b>a)</b>	<b>Function that you intend to perform at the bank (as far as is known at time of submission of the questionnaire)</b>
	Please state the name of the function:
	Please check all fields that apply, where relevant with the exact name of the function according to national law. <input type="checkbox"/> president of the board of directors / chairperson of the supervisory board <input type="checkbox"/> non-executive director / member of the supervisory board <input type="checkbox"/> chairperson of the audit committee <input type="checkbox"/> chairperson of the remuneration committee <input type="checkbox"/> chairperson of the risk committee <input type="checkbox"/> chairperson of the nomination committee  <input type="checkbox"/> chief executive officer / president of the management board <input type="checkbox"/> executive director / member of the management board  <input type="checkbox"/> other (please state): _____
<b>b)</b>	<b>Will you participate in sub-committees of the management body or other management committees? If so, please state which (as far as is known at the time of submission of the questionnaire)</b>
<b>c)</b>	<b>Please provide details about the planned start date of the function and the length of the term of office</b>
	(Planned) start date of function:
	(Planned) term of office:

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

<b>d)</b>	<b>Nature of arrangement between candidate and bank</b>
	<input type="checkbox"/> Contract for services <input type="checkbox"/> Equity participation <input type="checkbox"/> Employee <input type="checkbox"/> Other (please state): _____

### 4 Reputation<sup>2</sup>

<b>a)</b>	<b>Do you have any previous convictions in criminal proceedings or relevant civil or administrative proceedings (where there is an adverse impact on your reputation or a significant impact on your financial soundness), including convictions under appeal?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide details, in particular: the nature of the charge, the length of time since the alleged criminal offence, the likely penalty in the event of conviction, your conduct since the alleged criminal offence, your insight into the offence, the stage of court proceedings, any mitigating or aggravating factors.	
<b>b)</b>	<b>Do you have any pending criminal proceedings or relevant civil or administrative proceedings (including any formal notification of criminal investigation or other relevant committal or notice)?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide details, in particular: the nature of the charge, the length of time since the alleged criminal offence, the likely penalty in the event of conviction, the stage of court proceedings, any mitigating or aggravating factors.	
<b>c)</b>	<b>Have you ever been the subject of disciplinary proceedings, labour law proceedings or similar proceedings, including proceedings that led to disqualification as a company director or discharge from a position of trust?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
<b>d)</b>	<b>Have you ever declared personal bankruptcy or are you currently undergoing personal bankruptcy proceedings?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details (including whether the bankruptcy proceedings were voluntary).	

<sup>2</sup> All questions in this section relate to you personally, but also include any registered corporations, equity participation and unincorporated entities with which you are or have been associated as a director, supervisor, manager or qualifying shareholder. All questions also relate to proceedings in Slovenia and in the rest of the world.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

e)	<b>Have any of the proceedings referred to in section 4 been settled out of court or within the framework of alternative dispute resolution (e.g. mediation)?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
f)	<b>Have you ever been included in a list of unreliable debtors or do you have a negative record on a list established by a recognised credit bureau (including in the rest of the world), or have you received an enforcement measure for any such debt?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
g)	<b>Has a company in which you have or had a participating interest or at which you are or were a member of the management or supervisory body or the procurator ever been included a list referred to in point f)?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
h)	<b>Have you ever been the subject of a refusal of registration, authorisation, membership or licence to carry out a trade, business or profession, or have you had such withdrawn, revoked or terminated?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
i)	<b>Have you ever been sanctioned by any public authorities or professional bodies or are/were you the subject of any pending investigations or past investigations?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
j)	<b>Have you ever been dismissed or required to resign from the function of a member of the management or supervisory body of a company, or has your entitlement to manage the operations or act as statutory representative of a company ever been withdrawn?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

	If YES, please give details.	
k)	<b>Has your employment ever been terminated owing to a breach of work obligations?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
l)	<b>Have you ever had to resign from the (paid or unpaid) function of procurator or any other authorised person of a company owing to a breach of work obligations?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
m)	<b>Has any company in which you have or had a participating interest, are or were the founder, or are or were a member of the management body had its membership of any professional body rejected or revoked, or has the company been sanctioned in any way by such authorities in Slovenia or in the rest of the world?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
n)	<b>Has a competent authority in Slovenia or in the rest of the world ever prohibited you or a company at which you were a member of the management or supervisory body from pursuing any activity?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
o)	<b>Has the management body of the bank engaged in any specific deliberations regarding any aspects of your reputation, or are such deliberations underway?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details of the content and outcome of such deliberations.	
p)	<b>Do you have any major investments, financial exposures or loan borrowings that could have a significant impact on your financial position?</b>	<input type="checkbox"/> YES

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

		<input type="checkbox"/> NO
	If YES, please give details.	
r)	<b>Has a company at which you were a member of a management or supervisory body ever had an authorisation to pursue activities for which a special authorisation is required withdrawn during your term of office or within five years of your departure from the company?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
s)	<b>Have you or a company in which you have or had a participating interest or are or were a member of the management or supervisory body, procurator or other authorised statutory representative ever had an authorisation for a qualifying holding rejected or withdrawn, or been found liable via a final or pending judicial or other decision for a breach of the obligations and duties of a qualifying holder?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
t)	<b>Have you ever been a member of the management or supervisory body at a company against which insolvency or compulsory wind-down proceedings have been initiated or a resolution tool<sup>3</sup> applied and/or at which a special administration was appointed in Slovenia or in the rest of the world during your term of office or within five years of your departure from the company?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	
u)	<b>Has a supervisory authority, in the scope of its powers, ever initiated proceedings against you to withdraw an authorisation to perform a function, proceedings to disqualify you from performing a function or other similar proceedings that were subsequently halted due to your resignation or another form of termination of your term of office?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details.	

<sup>3</sup> Resolution tools mean the tools under Directive 2014/59/EU of the European Parliament and of the Council of 15 May 2014 establishing a framework for the recovery and resolution of credit institutions and investment firms and amending Council Directive 82/891/EEC, and Directives 2001/24/EC, 2002/47/EC, 2004/25/EC, 2005/56/EC, 2007/36/EC, 2011/35/EU, 2012/30/EU and 2013/36/EU, and Regulations (EU) No 1093/2010 and (EU) No 648/2012, of the European Parliament and of the Council, as transposed to national legislation.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

### 5 Knowledge, skills and experience

a)	Official degree / certificate	Field of study	Qualification achieved	Date	Educational institution (university, centre of studies, etc.)
	<i>Add rows as required</i>				

b) Practical experience of banking/finance									
	Your function at the company	Main duties/responsibilities	Title of company, address and primary business activity	Company size <sup>4</sup>	Number of direct subordinates	Area of work	From	To	Reason for termination
	<i>Add rows as required</i>								

<sup>4</sup> E.g. total assets at year end for financial institutions, total turnover and presence on international markets for other companies.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

c)	Other relevant experience in senior management functions <sup>5</sup> outside financial sector								
	Your function at the company	Main duties/responsibilities	Title of company, address and primary business activity	Company size	Number of direct subordinates	Area of work	From	To	Reason for termination
	<i>Add rows as required</i>								

<sup>5</sup> On the management board or one or two levels below the management board, including the function of procurator or official authorised person of the company, and the function of statutory representative of management or supervisory bodies.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

d)	<b>Other relevant experience outside financial sector (e.g. academic positions, legal services, IT, engineering, political mandates, other non-commercial mandates)</b>								
	<b>Your function at the company</b>	<b>Main duties/responsibilities</b>	<b>Title of company, address and primary business activity</b>	<b>Company size</b>	<b>Number of direct subordinates</b>	<b>Area of work</b>	<b>From</b>	<b>To</b>	<b>Reason for termination</b>
	<i>Add rows as required</i>								
e)	<b>Total years of service</b>								

f)	<b>Please note when filling out the above fields that the following criteria are relevant to the level of experience and should be mentioned where necessary: the nature of the management function performed and its hierarchical level, the nature and complexity of the organisation where the function was performed, including its organisational structure, the scope of competencies, decision-making powers and responsibilities, and the number of subordinates. Additional information may be provided below if necessary.</b>								

g)	<b>If you do not have relevant experience, please list below any potential compensating factors (e.g. size of entity, other experience, degree/academic experience, proven ability to actively debate and defend positions, overall suitability, specialised knowledge, limited appointment in terms of the role of the appointment, other special cases)</b>								

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

h)	General banking knowledge and experience, as enumerated in guidelines governing the assessment of the suitability of members of the management body and key function holders	Assessment of theoretical knowledge (1: high; 2: medium-high; 3: medium-low; 4: low)	Assessment of practical experience (1: high; 2: medium-high; 3: medium-low; 4: low)
	a) financial markets;	<i>General assessment</i>	<i>General assessment</i>
	b) regulatory framework and requirements;	<i>General assessment</i>	<i>General assessment</i>
	c) strategic planning, and understanding of a credit institution's business strategy or business plan, and accomplishment thereof;	<i>General assessment</i>	<i>General assessment</i>
	d) risk management and the ICAAP (identifying, assessing, monitoring, controlling and mitigating the main types of risk of a credit institution, including the responsibilities of the member);	<i>General assessment</i>	<i>General assessment</i>
	- credit risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- market risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- interest rate risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- liquidity risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- operational risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- compliance risk	<i>Individual assessment</i>	<i>Individual assessment</i>
	- other risks (please state):	<i>Individual assessment</i>	<i>Individual assessment</i>
	e) assessing the effectiveness of a credit institution's internal governance arrangements, creating effective governance, oversight and controls;	<i>General assessment</i>	<i>General assessment</i>
	f) interpreting a credit institution's financial information, identifying key issues based on this information, and applying appropriate controls and measures.	<i>General assessment</i>	<i>General assessment</i>

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

i)	<b>Other specialised experience</b>
	<i>Add rows as required</i>

j)	<b>Prior to the assumption of the function or within the first year of the assumption of the function, do you intend to follow additional training for the function?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details below.	
	<b>Envisaged content of training</b>	
	<i>Add rows as required</i>	

k)	<b>Other additional education and training, particularly in the fields of banking, finance, economics, law, administration, financial regulations, mathematics and statistics (in particular please state education and training in the area of the functioning of supervisory boards and corporate governance<sup>6</sup>)</b>	<b>Period of education/training</b>
	<i>Add rows as required</i>	

<sup>6</sup> <http://www.zdruzenje-ns.si/zcnswweb/vsebina.asp?n=3&s=423> (and similar)

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

I) Knowledge of foreign languages									
	Language	Understanding*		Speaking*		Writing*	Certification obtained (YES/NO)	Date certification obtained	
		Listening	Reading	Spoken interaction	Spoken production	Writing			
		Native language							
	<i>Add rows as required</i>								

\* A1/A2 (Basic user); B1/B2 (Independent user); C1/C2 (Proficient user)<sup>7</sup>

<sup>7</sup> <http://www.europass.si/files/userfiles/europass/SEJO%20komplet%20za%20splet.pdf>; p 46.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

m)	Skills	Mark (x) for the skills that you believe that you possess, and (xx) for the skills that you believe are your strongest
	Authenticity	
	Determination	
	Communication skills	
	Ability to formulate judgements	
	Focus on quality	
	Leadership abilities	
	Loyalty	
	Awareness of the importance of “keeping up-to-date with developments”	
	Negotiating skills	
	Persuasiveness	
	Team focus	
	Strategic skills	
	Resilience to stress	
	Sense of responsibility	
	Ability to chair meetings	

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

### 6 Conflicts of interest<sup>8</sup>

a)	<b>Do you have any personal relationship with:</b> – other members of the management body and/or key function holders at the bank, the parent undertaking or its subsidiaries? – a person that has a qualifying holding in the bank, the parent undertaking or its subsidiaries?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give details below.	
b)	<b>Do you have, or have you had in the last two years, any professional<sup>9</sup> or commercial relationship (either yourself or via a company) with:</b> – the bank, the parent undertaking or its subsidiaries? – competitors of the bank, the parent undertaking or its subsidiaries?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide the following information: – a description of the type and content of the business and the obligations of both parties; – if relevant, the name of the company; – the relevant period of this relationship; – the (financial) value that it represents for your business or that of your close relatives or business partners.	
c)	<b>Are you currently involved directly or indirectly in any legal proceedings against the bank, the parent undertaking or its subsidiaries, either yourself or through a company that you represent?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide information on the content and status of the legal proceedings and the entity involved.	

<sup>8</sup> All questions in this section relate to you personally, but also include your close relatives (your spouse [or a person with whom you cohabit that has the same property rights as those arising out of a matrimonial relationship, or a person with whom you live in a same-sex civil partnership according to the law governing the registration of same-sex civil partnerships], your child or adopted child or a child or adopted child of your spouse, another person under your guardianship or your spouse’s guardianship, your parents or your spouse’s parents).

<sup>9</sup> Such as a management function or senior function.

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

d)	<b>Do you, either personally, through a close relative or through a company that you represent, have any substantial financial interest (e.g. participating interest, investment, business relationship) in the bank, the parent undertaking or its subsidiaries, or in competitors or clients of the bank, the parent undertaking or its subsidiaries? If YES, please provide the following information:</b>					
	<b>Business name of the company</b>	<b>Primary business activity of the company</b>	<b>Relationship between the company and the bank</b>	<b>Relevant period</b>	<b>Size of the financial interest (percentage of equity, percentage of voting rights or value of investment)</b>	<b>State which close relatives hold a participating interest in the company, the participating interest as a percentage</b>
	<i>Add rows as required</i>					
e)	<b>Do you, in any way, represent a shareholder of the bank, the parent undertaking or its subsidiaries?</b>					<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide the following information: 1. the name of shareholder; 2. the percentage participation (percentage of equity and percentage of voting rights); 3. the nature of the representation.					
f)	<b>Do you have any substantial financial obligations to the bank, the parent undertaking or its subsidiaries?</b>					<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide the following information: 1. the type of obligation; 2. the value of the obligation;					

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

	3. the relevant period of the obligation.	
<b>g)</b>	<b>Do you have or have you had over the last two years a position with high political influence (either nationally or locally)?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please provide the following information: 1. the nature of the position; 2. the specific powers related to or the obligations of this position; 3. the relationship between this position (or the entity where this position is held) and the bank, the parent undertaking or its subsidiaries.	
<b>h)</b>	<b>Do you have any other relationships, positions, functions at the bank or involvements that are not addressed in the questions above and that could adversely affect the interests of the bank (e.g. does a close relative referred to in point 21 of the first paragraph of Article 7 of the ZBan-2 work on the bank's management body or in a management function or senior function at the bank, or at another bank or a company that could be a competitor of the bank; to your knowledge could there be any suspicion of a conflict of interest at the level of the management or supervisory bodies between you and the company, including the bank?)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	If YES, please give all necessary details.	

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

### 7 Time commitment

<b>a) What time commitment is required for the function involved?</b>											
<b>b) Do you hold an authorisation from the Bank of Slovenia or the ECB for an additional non-executive directorship (sixth paragraph of Article 36 of ZBan-2 or Article 91(6) of CRD IV)?</b>										<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> PENDING	
<b>c) List of executive and non-executive directorships and other professional activities (please list the directorship for which this form is being completed first and then all other directorships and other professional activities)</b>											
a. Entity (please mark listed companies with *)	b. Country	c. Description of the company's activity	d. Size of entity <sup>10</sup>	e. Function within the entity: executive director / non-executive director / other	f. Privileged counting (fourth paragraph of Article 36 of ZBan-2) <sup>11</sup> or no counting <sup>12</sup>	g. Additional responsibilities such as membership of committees, chair functions	h. Time commitment per week (hours) and per year (days), including additional responsibilities	i. Term of mandate (as of – until)	j. Any additional comments	k. Number of meetings per year	l. Additional information
<i>Add rows as required</i>											

<sup>10</sup> E.g. total assets at year end for financial institutions, total turnover and presence on international markets for other companies.

<sup>11</sup> Group / institutional protection scheme / qualifying holding

<sup>12</sup> Not predominantly commercial objectives / representing the state

# Appendix 1

## KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

d)	Total number of executive directorships if privileged counting and exceptions (no counting) are applied	
e)	Total number of non-executive directorships if privileged counting and exceptions (no counting) are applied	
f)	If privileged counting applies please provide details of whether any synergies exist between the companies, such that there is a legitimate overlap in terms of time commitment within those companies	
g)	Total hours per week of time committed to all directorships outside the function for which the application is being submitted	
h)	Total days per year of time committed to all directorships outside the function for which the application is being submitted	
i)	How many hours per week or days per year will you dedicate to the function for which the application is being submitted?	
j)	Taking account of your other business and personal obligations, do you believe yourself capable of dedicating sufficient time to your work at the bank, even if that means exceeding mandatory working hours at the bank?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Please give details as necessary.	

# Appendix 1

KAN QUESTIONNAIRE

RESTRICTED – PERSONAL DATA

## 8 Vision for the bank's operations or supervision

a)	<b>Which work areas will you be responsible for on the bank's management board (to be completed by a candidate for membership of the management board), or which areas of operation will you be responsible for supervising on the bank's supervisory board (to be completed by a member of the supervisory board)?</b>
b)	<b>Describe your strategy:</b> <ul style="list-style-type: none"><li>- for managing the bank's operations and managing the corresponding risks (in 2,000 to 3,000 words; to be completed by a candidate for membership of the management board),</li><li>- for supervising the bank's operations (in 1,000 to 1,500 words; to be completed by a member of the supervisory board),</li></ul> <b>having regard for banking legislation in the area for which you will be responsible on the bank's management board or supervisory board, and the relation between this area and the banking system in Slovenia.</b>

**9 Additional information and appendices**

<b>a)</b>	<b>If there is any other information that you consider to be relevant to the assessment, please include it below:</b>
<b>b)</b>	<b>Please tick the boxes as proof that all of the requisite information has been attached to the questionnaire:</b>
	<input type="checkbox"/> Copy of personal identification document <input type="checkbox"/> CV <input type="checkbox"/> Copies of evidence of any professional qualifications obtained <input type="checkbox"/> Copy of any employers' references <input type="checkbox"/> Extract from criminal records <input type="checkbox"/> Evidence of no criminal charge <input type="checkbox"/> Resolution on appointment by supervisory board (for member of management board) <input type="checkbox"/> Extract from system for exchange of information regarding client credit ratings (SISBON) and/or another appropriate collection of personal data from the rest of the world, if the latter exists <input type="checkbox"/> Other: