

Catre,

**Nr. inreg. 0380/14.10.2020**

**Bursa de Valori Bucuresti**  
**Autoritatea de Supraveghere Financiara**

### **Raport curent**

conform Legii nr. 24/2017 privind emitenții de instrumente financiare și operațiuni de piață și Regulamentului nr. 5/2018 privind emitenții de instrumente financiare și operațiuni de piață

Data raportului: 14.10.2020

Denumirea entitatii emitente: Fondul Inchis de Investitii BET FI Index Invest adm. de SAI Broker S.A.

Sediul social: Cluj- Napoca, Str. Motilor Nr. 119, et. 4, Jud. Cluj

Numarul de telefon: 0364-260.755 si numarul de fax: 0364-780.124

Codul unic de inregistrare la Oficiul Registrului Comertului 30706475

Numar de ordine in Registrul Comertului: J12/2603/2012

Capital social subscris si varsat: 2.206.180 lei

Piata reglementata pe care se tranzactioneaza valorile mobiliare emise: Bursa de Valori Bucuresti

Evenimente importante de raportat: Plata dividendelor aferente anului 2019 – transa a III-a

Urmare a hotararii Consiliului de Administratie din data de 13.10.2020 a SAI Broker S.A. autorizata prin Decizia nr. 71/29.01.2013, inregistrata in Registrul A.S.F. sub nr. PJR05SAIR/120031, Fondul Inchis de Investitii BET FI Index Invest, inregistrat in Registrul ASF sub nr. CSC08FIIR/120035, ISIN: ROFIIN0000T6 anunta ca plata dividendelor aferente exercitiului financiar 2019 transa a III-a, se va efectua dupa cum urmeaza:

- Dividendul brut este in valoare de **5 RON** pentru fiecare unitate de fond emisa de Fondul Inchis de Investitii BET FI Index Invest, detinuta la data de identificare. Vor beneficia de dividend investitorii care detin unitati de fond la data de identificare conform registrului investitorilor tinut de catre Depozitarul Central S.A.
- Impozitul pe dividende va fi retinut la sursa in cotele prevazute de legislatia in vigoare;
- Data de identificare: **26.10.2020** (ex date 23.10.2020)
- Data platii: **02.11.2020**.
- Costurile aferente platilor dividendelor, indiferent de metoda de plata, vor fi suportate de catre investitori.
- Plata dividendelor se va realiza prin intermediul Depozitarului Central si BRD-Groupe Societe Generale - agentul de plata selectat.

Modalitati de plata a dividendelor:

### **1. Prin Participanti (Banci custode/SSIF): Persoane fizice si juridice/alte entitati care au cont deschis la Participant:**

Pentru actionarii persoane fizice, juridice sau alte entitati, care la Data de identificare detin unitati de fond evidentiata in Sectiunea 2 sau 3 a registrului investitorilor in contul deschis la Participant,



dividendele vor fi platite automat in Data platii (02.11.2020) prin virament bancar, prin intermediul Depozitarului Central, in conturile Participantilor respectivi.

Investitorii nerezidenti care au cont deschis la Participant si doresc aplicarea prevederilor mai favorabile ale Conventiei de evitare a dublei impuneri incheiate intre Romania si tara lor de rezidenta vor transmite la sediul SAI Broker SA, prin intermediul Participantului, certificatul de rezidenta fiscala pentru anul in care are loc plata dividendelor (2020), in termen de valabilitate, in original sau in copie legalizata, apostilat/supralegalizat, daca este cazul, impreuna cu traducerea autorizata in limba romana, in original, in urmatoarele termene:

- Pana la data de 29.10.2020, in cazul in care nu au optat pentru Plata amanata a dividendelor. Aplicarea Conventiei de evitare a dublei impuneri, in Data platii este conditionata de primirea pana la data de 29.10.2020 a documentelor complete.
- Pana cel tarziu la data de 30.11.2020, in cazul in care au optat pentru plata amanata a dividendelor.

Data platii amanate este data ulterioara Datei platii care reprezinta data limita stabilita de emitent pana la care se amana plata dividendelor catre actionarii nerezidenti care si-au exprimat, prin intermediul Participantilor, aceasta optiune de plata pentru a beneficia de prevederile mai favorabile ale Conventiei de evitare a dublei impuneri. Data platii amanate este 21.12.2020. Plata dividendelor cuvenite investitorilor nerezidenti care au optat pentru plata amanata va fi efectuata in termen de cel mult 10 zile lucratoare de la data primirii de catre SAI Broker SA, prin intermediul Participantilor, a documentatiei complete.

Participantii vor transmite la sediul SAI Broker SA, pana la datele mentionate anterior, lista investitorilor pentru care se depun documentele fiscale si care trebuie sa contina: denumirea completa a investitorilor (pentru cazurile in care denumirea din Registrul Investitorilor este diferita de cea inregistrata in documentele fiscale, se va prezenta intr-o rubrica speciala motivele/explicatiile acestor diferente), codul de identificare al investitorului cu care acesta este inregistrat in Registrul investitorilor transmis de catre Depozitarul Central (NIN), numarul de unitati de fond detinut la Data de identificare.

In cazul investitorilor nerezidenti reprezentati de Participant, se va retine impozitul pe dividende in cota standard prevazuta de Codul Fiscal din Romania daca:

- Investitorii nu au optat pentru plata amanata si nu au transmis certificatul de rezidenta fiscala pana in data de 29.10.2020. In aceasta situatie plata dividendelor se va efectua la Data Platii (02.11.2020).
- Investitorii au optat pentru plata amanata, dar nu au transmis cel tarziu pana la data de 30.11.2020, certificatul de rezidenta fiscala, situatie in care plata dividendelor se va efectua la Data platii amanate (21.12.2020).

**2. Plati prin virament bancar (in conturi in lei la o banca din Romania) pentru investitorii persoane fizice sau juridice care nu au cont deschis la Participant conform solicitarilor adresate SAI Broker SA.**

Solicitarile vor fi transmise catre SAI Broker SA pana la data de 29.10.2020



- a) Pentru investitorii persoane fizice care nu au incasat dividende pentru anul 2017 si sunt investitori ai fondului la data de identificare 26.10.2020:
- solicitare scrisa semnata de catre investitor, in care se vor preciza banca si codul IBAN al contului deschis pe numele investitorului; Investitorii sunt rugati sa precizeze in solicitare numarul de telefon la care pot fi contactati in eventualitatea unor clarificari.
  - copia actului de identitate;
  - copie extras de cont sau un document eliberat de banca prin care se confirma existenta contului pe numele investitorului, cu precizarea codului IBAN.

Documentatia poate fi transmisa prin:

- posta, la sediul societatii de administrare din Cluj Napoca, Str. Motilor nr. 119, et. 4, jud. Cluj;
- la numarul de fax: 0364-780.124;
- email la adresa office@saibroker.ro.

- b) Pentru investitorii persoane juridice care nu au incasat dividende pentru anul 2018 si sunt investitori ai fondului la data de identificare 26.10.2020:
- solicitare in original semnata de reprezentantul legal al societatii si stampilata cu stampila societatii, in care se vor preciza banca si codul IBAN al contului deschis pe numele societatii; Investitorii sunt rugati sa precizeze in solicitare numarul de telefon la care pot fi contactati in eventualitatea unor clarificari.
  - certificat constatator in original (nu mai vechi de 30 de zile)
  - copia actului de identitate al reprezentantului legal;
  - copia certificatului de inregistrare a societatii;
  - copie extras de cont sau un document eliberat de banca prin care se confirma existenta contului pe numele societatii, cu precizarea codului IBAN.

Documentatia prevazuta mai sus va fi transmisa prin posta la sediul societatii de administrare din Cluj-Napoca, Str. Motilor, nr. 119, et. 4, jud. Cluj.

- c) Pentru investitorii care au incasat dividende pentru anul 2018 si sunt investitori ai fondului la data de identificare 26.10.2020

Investitorii care doresc ca plata dividendelor sa se faca in acelasi cont bancar in care au fost platite dividendele aferente anului 2018 vor transmite solicitare scrisa semnata de catre investitor, in care se vor preciza banca si codul IBAN al contului deschis pe numele investitorului sau solicitare semnata de reprezentantul legal al societatii si stampilata cu stampila societatii, in care se vor preciza banca si codul IBAN al contului deschis pe numele societatii.

Solicitarea poate fi transmisa prin:

- posta la sediul societatii de administrare din Cluj-Napoca, Str. Motilor, nr. 119, et. 4, Judetul Cluj.
- la numarul de fax: 0364-780.124;
- email la adresa office@saibroker.ro.

Investitorii care doresc ca plata dividendelor sa se faca intr-un cont bancar diferit fata de cel in care au fost platite dividendele aferente anului 2017 si 2018 vor transmite documentele mentionate la punctele a) si b).

### **3. Plati prin virament bancar pentru investitorii persoane fizice sau juridice care nu au cont deschis la Participant conform solicitarilor adresate Depozitarului Central.**

Solicitarile vor fi transmise catre Depozitarul Central pana la data de 29.10.2020.

Depozitarul Central pune la dispozitia tuturor investitorilor nereprezentati de Participanti (detinatori de unitati de fond evidentiati in Sectiunea 1 a Registrului investitorilor) optiunea de a incasa orice suma convenita direct prin virament bancar, indiferent de emitentul care distribuie sumele de bani.

Aceasta optiune presupune inregistrarea codului IBAN la Depozitarul Central, acesta putand fi utilizat pentru incasarea mai multor sau tuturor detinerilor si ramanand valabil si pentru distributiile ulterioare, pana la o notificare contrara din partea investitorilor. Inregistrarea codului IBAN de catre Depozitarul Central va fi taxata conform grilei de tarife percepute detinatorilor de instrumente financiare si suportata de catre fiecare investitor in parte. Pentru mai multe detalii despre aceasta optiune de plata, investitorii sunt rugati sa contacteze Depozitarul Central la tel. 021.408.58.56 sau 021.408.59.23 sau e-mail [dividende@depozitarulcentral.ro](mailto:dividende@depozitarulcentral.ro). Investitorii persoane fizice sau juridice vor transmite Depozitarului Central documentele necesare platii astfel:

a) *Investorii persoane fizice, personal sau prin reprezentant legal sau conventional*, vor prezenta Depozitarului Central formularul de colectare cod IBAN, in care se vor preciza banca si contul (cod IBAN) deschis pe numele Detinatorului de instrumente financiare (modelul este disponibil pe site-ul Depozitarului Central - [www.depozitarulcentral.ro](http://www.depozitarulcentral.ro)), insotit de:

- copia actului de identitate valabil in care sa fie lizibil codul numeric personal – certificata de titular „conform cu originalul”;
- extras de cont sau un document eliberat de banca (semnat si stampilat) prin care se confirma existenta contului pe numele Detinatorului de instrumente financiare, cu precizarea codului IBAN, in original;
- copia documentelor care atesta calitatea semnatarului cererii de reprezentant legal sau conventional, daca este cazul – certificata de titular „conform cu originalul”;

b) *Investitorii persoane juridice, prin reprezentant legal sau conventional*, vor prezenta Depozitarului Central formularul de colectare cod IBAN in care se precizeaza banca si contul (cod IBAN) deschis pe numele Detinatorului de instrumente financiare (modelul este disponibil pe site-ul Depozitarului Central [www.depozitarulcentral.ro](http://www.depozitarulcentral.ro)), insotit de:

- copie a certificatului de inmatriculare – certificata de titular “conform cu originalul”;
- copie dupa documentul care atesta calitatea de reprezentant legal al societatii (certificat constatator emis de registrul comertului/entitatea echivalenta – pentru entitatile de nationalitate straina) – certificata de titular „conform cu originalul”;
- copia documentelor care atesta calitatea de reprezentant conventional a semnatarului cererii, daca este cazul – certificata de titular „conform cu originalul”;
- extras de cont sau un document eliberat de banca (semnat si stampilat) prin care se confirma existenta contului pe numele titularului – persoana juridica, cu precizarea codului IBAN, in original;



Documentele prezentate într-o limbă străină vor fi însoțite de traducerea legalizată în limba română, iar, dacă sunt emise de o autoritate străină, acestea trebuie să fie apostilate sau supralegalizate, după caz.

Formularele de colectare cod IBAN se vor transmite la adresa: Depozitarul Central SA – București, Bd. Carol I nr. 34 - 36, sector 2 sau vor fi depuse la sediul Depozitarului Central. Depozitarul Central verifică documentația transmisă de Investitori, iar, în cazul în care documentația nu este completă, solicită completarea acesteia.

#### **4. Prin intermediul agentului de plată - BRD Groupe Societe Generale**

a) În numerar: numai pentru persoanele fizice care nu au cont deschis la Participant - la ghișeele BRD, la orice unitate BRD

Pentru acționarii persoane fizice care nu se încadrează la punctele 1, 2 și 3, plata dividendelor se va face în numerar, începând cu data plății 02.11.2020, la ghișeele BRD, la orice unitate BRD. Lista unităților BRD este disponibilă pe site-ul <http://www.brd.ro/banca/retea-unitati/> și pe site-ul [www.saibroker.ro](http://www.saibroker.ro). Plățile în numerar se vor realiza în limita sumelor stabilite în legislația aplicabilă. Investitorii vor prezenta documentele menționate în Anexa 1.

b) Prin virament bancar: persoane fizice și juridice

Acționarii persoane fizice și juridice care doresc plata dividendelor prin virament bancar pot solicita la BRD, începând cu data plății 02.11.2020, plata prin virament bancar prezentând la ghișeele băncii documentele menționate în Anexa 1.

Toate documentele prezentate la ghișeele băncii în copie vor fi certificate pentru conformitate cu originalul, semnate și stampilate de investitor/imputernicitul acestuia.

#### **5. Pentru investitorii persoane fizice sau juridice nerezidente care nu au cont deschis la Participant**

Investitorii nerezidenți care nu sunt reprezentați de Participant și doresc aplicarea prevederilor mai favorabile ale Convenției de evitare a dublei impuneri încheiate între România și țara de rezidență vor transmite la sediul SAI Broker SA până la data de 29.10.2020 certificatul de rezidență fiscală, în original sau în copie legalizată, apostilat/supralegalizat, dacă este cazul, însoțit de traducerea autorizată în limba română, în original.

Pentru plata dividendelor prin virament bancar, investitorii persoane fizice sau juridice nerezidente vor depune, pe lângă certificatul de rezidență fiscal, și documentele menționate la punctul 2.

#### **6. Investitorii decedați**

În cazul în care în registrul Investitorilor la Data de identificare sunt incluse persoane decedate, dividendele se vor plăti doar după înregistrarea de către Depozitarul Central, în baza solicitării moștenitorilor, a transferului direct de proprietate asupra unităților de fond ca efect al succesiunii.

#### **7. Unități de fond deținute în coproprietate**

În cazul unităților de fond deținute în coproprietate, plata dividendelor se va efectua după cum urmează:





- In cazul platilor in numerar, platile se vor face cu conditia ca toti coproprietarii sa se prezinte la BRD personal sau prin reprezentant legal si/sau conventional si sa prezinte documentele prevazute la platile prin numerar;
- In cazul platilor prin virament bancar dividendele convenite coproprietarilor se vor vira in contul indicat de catre toti coproprietarii in baza solicitarii comune transmise in una din metodele indicate mai sus;
- In cazul platilor catre cei care au cont deschis la Participant, dividendele convenite coproprietarilor vor fi virate Participantului ai carui clienti sunt.
- In situatia in care coproprietarii solicita atat inregistrarea de catre Depozitarul Central a transferului direct de proprietate asupra instrumentelor financiare ca efect al iesirii din indiviziune, in conformitate cu Regimul juridic aplicabil, cat si plata directa catre fiecare dintre coproprietari conform numarului de instrumente dobandite in proprietate exclusiva, Depozitarul Central va bloca plata dividendelor, plata urmand a se realiza fiecarui coproprietar conform prezentei proceduri.

Orice modificare de date in registrul investitorilor (modificari de nume, domiciliu, mostenitori, etc) se realizeaza numai de catre Depozitarul Central SA la solicitarea investitorului/persoanei indreptatite.

Relatii suplimentare privind plata dividendelor pot fi obtinute la sediul societatii de administrare: Cluj-Napoca, Str. Motilor, nr. 119, et. 4, Jud. Cluj, la numarul de telefon 0364-260.755 sau la adresa de mail [office@saibroker.ro](mailto:office@saibroker.ro)

Cu stima,

Adrian Danciu  
Presedinte CA/Director General



Bogdan Ilies  
Reprezentant CCI



## **Anexa 1 – Lista documente necesare incasarii/virarii sumelor cuvenite investitorilor prin intermediul agentului de plata- BRD Groupe Societe Generale**

### **1. Persoane Fizice - Plati procesate in numerar/virament la ghiseele Agentului de plata:**

In calitate de investitor persoana fizica rezidenta:

- act de identitate avand in scris codul numeric personal (C.N.P.); identificarea investitorului de catre Agentul de plata se va face pe baza informatiei regasite in campul rezervat CNP.

In calitate de investitor persoana fizica nerezidenta:

- document cu care se identifica investitorul avand inscrise date ce trebuie sa corespunda cu cele cu care este inregistrat investitorul in evidentele Depozitarului Central.

In calitate de investitor persoana fizica avand varsta sub 14 ani:

- actul de identitate al tutorelui /parintelui avand in scris codul numeric personal (C.N.P.) + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata).
- certificatul de nastere al investitorilor care trebuie sa aiba in scris C.N.P.-ul + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata)
- actul juridic ce instituie tutela in cazul tutorelui care nu este unul dintre parinti + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata).

In calitate de curator al investitorilor persoane fizice:

- actul de identitate al curatorului avand in scris codul numeric personal (C.N.P.) + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata)

actul de identitate al investitorului avand in scris codul numeric personal (C.N.P.) + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata).

actul juridic ce instituie curatela + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata)

In calitate de imputernicit al investitorilor persoane fizice:

procura speciala autentificata la notariat care cuprinde imputernicirea de ridicare a Sumelor de distribuit eliberata cu nu mai mult de 3 ani anteriori datei in care se efectueaza plata, cu exceptia cazului in care imputernicirea are un termen de valabilitate mai mare de 3 ani si este valabila la data la care se efectueaza plata + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata) si actul de identitate al imputernicitului + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine).

actul de identitate al imputernicitului avand in scris codul numeric personal (C.N.P.) + 1 fotocopie certificata pentru conformitate cu originalul (fotocopia se retine de catre Agentul de plata)



Nota 1: in cazul coproprietarilor, platile se vor procesa sub conditia prezentarii la ghiseu a tuturor coproprietarilor, personal sau prin reprezentant legal si/sau conventional

Nota 2: Documentele prezentate intr-o limba straina vor fi insotite de traducerea legalizata in limba romana, iar, daca sunt emise de o autoritate straina acestea trebuie sa fie apostilate sau supralegalizate, dupa caz.

Nota 3: Agentul de plata va putea realiza plati in numerar in limita sumelor stabilite in legislatia aplicabila (ex: conform Legii nr 70/2015, in vigoare incepand cu data de 08.05.2015, sumele eliberate catre beneficiari, persoanele fizice sunt supuse plafonului zilnic de 10.000 lei/zi.).

Nota 4: In cazul platilor prin virament bancar in alte banci decat BRD la documentele de mai sus se anexeaza si extras de cont certificat de banca unde se solicita transferul dividendelor sau document doveditor emis de banca din care sa reiasa titularul contului bancar mai sus mentionat. Titularul contului poate fi doar investitorul sau, dupa caz, imputernicitul acestuia.

Situatii exceptionale:

Nu se vor efectua plati de dividende nete la ghiseu in urmatoarele cazuri:

catre investitorii al caror CNP din actele prezentate la ghiseu nu concorda cu cel inscris in evidentele Agentului de plata si primite de la Depozitarul Central. Acestia vor fi indrumati catre Depozitarul Central.

catre mostenitorii investitorilor. Acestia vor fi indrumati catre Depozitarul Central.

### **Persoane Juridice - Plati procesate in virament la ghiseele Agentului de plata:**

Certificatul de inmatriculare/inregistrare al persoanei juridice/entitatii in Registrul Comertului/ alt document echivalent care sa ateste inregistrarea persoanei juridice/entitatii la autoritatea competenta + 1 fotocopie care se va retine de catre Agentul de Plata

Act de identitate al reprezentantului legal sau, dupa caz, al mandatarului

Certificatul constatator de la Registrul Comertului/ document echivalent emis de autoritatea competenta nu mai vechi de 3 luni care sa mentioneze reprezentantul legal al societatii + 1 fotocopie care se va retine de catre Agentul de Plata.

Procura notariala in original sau in copie legalizata (procura se va retine de catre Agentul de Plata), daca este cazul.

In cazul platilor prin virament bancar in alte banci decat BRD, la documentele de mai sus, se anexeaza si extras de cont certificat de banca unde se solicita transferul dividendelor sau document doveditor emis de banca din care sa reiasa titularul contului bancar mai sus mentionat. Titularul contului poate fi doar investitorul sau, dupa caz, imputernicitul acestuia.



**In attention to**  
**The Bucharest Stock Exchange (B.V.B.)**  
**The Financial Supervisory Authority (A.S.F.)**

**No. 0380/October 14, 2020**

### **Current Report**

In accordance with the Law no. 24/2017 on issuers of financial instruments and market operations and Regulation no. 5/2018 on issuers of financial instruments and market operations

Report date: October 14, 2020

Issuing entity: The closed-end fund BET FI Index Invest managed by SAI Broker S.A.

Registered office: Cluj-Napoca, no. 119, Motilor Street, 4<sup>th</sup> floor, County of Cluj

Phone: 0364-260.755, fax: 0364-780.124

VAT No. 30706475

Trade Registry No.: J12/2603/2012

Share capital: RON 2,206,180

The regulated market on which the issued shares are traded: The Bucharest Stock Exchange

**Important events to report:** Payment of dividends for the year 2019 – 3<sup>rd</sup> tranche

Following the resolution of the Managing Board from October 13, 2020 of SAI Broker S.A authorized by Decision No. 71/January 29, 2013, registered with the A.S.F. Register under No. PJR05SAIR/120031, the closed-end fund BET FI Index Invest, registered with the A.S.F. Registry under No. CSC08FIIR/120035, announces that the payment of dividends for the year 2019 – 3<sup>rd</sup> tranche - shall be made as follows:

- The gross dividend is **RON 5** for each fund unit issued by the closed end fund BET FI Index Invest, held at the identification date. Dividends shall be paid to those investors who hold fund units at the identification date in accordance with the investors' registry kept by the Central Depository (Depozitarul Central).
- The dividend tax rate will be withheld prior to payment in accordance with the legal provisions in force.
- The identification date is **October 26, 2020** (ex-date October 23, 2020);
- The payment date is **November 2, 2020**.
- The costs for the payment of dividends, regardless of the payment method, shall be borne by the investors.
- The payment of dividends shall be made by the Central Depository and BRD-Groupe Societe Generale, the selected payment agent.

The method of payment:

**1. Via Participants (Custody banks/Brokerage companies): Individuals and legal entities / other entities that have an account with the Participant:**

For the individuals, legal entities or other entities, who, at the identification date, hold fund units described in the Section 2 or 3 of the Investors' Registry in the account opened with the Participant, the dividends shall be paid automatically on the Payment Date (November 2, 2020) by bank transfer, via the Central Depository, into the accounts of the respective Participants.

Non-resident investors who have an account with the Participant and want to benefit of the more favorable stipulations of the Agreement on the avoidance of double taxation entered between Romania and their residence country shall send to the registered office of SAI Broker SA, via the Participant, the tax residence certificate for the year when the payment of dividends is made (2020), within the due term, in original or certified copy, with apostille/super legalization, if applicable, with the certified translation into Romanian, in original, within the following term:

- Until October 29, 2020, unless they have opted for the delayed payment of dividends. The application of the Agreement on the avoidance of double taxation, on the payment date, is conditioned by the receipt of the complete documents until October 29, 2020.
- Until the latest November 30, 2020, should they have opted for the postponed payment of dividends.

The date of the postponed date is the date after the Payment Date representing the deadline established by the issuer for the delay of the payment of dividends to the non-resident shareholders who expressed, via Participants, this payment option to benefit of the more favorable stipulations of the Agreement on the avoidance of double taxation. The date of postponed payment is December 21, 2020. The payment of dividends due to the non-resident investors who opted for the postponed payment shall be made within maximum 10 business days after the receipt of the complete documentation by SAI Broker SA, via Participants.

The Participants shall send to the office of SAI Broker SA, by the dates mentioned above, the list of investors whom the tax documents are presented for, and which shall include: full name of the investors (should the name in the Investors' Registry be different from that recorded in the tax documents, a special section shall detail the reasons for these differences), the investor's identification code of registration with the Investors' Registry sent by the Central Depository (NIN), the number of fund units held on the Identification Date.

In case of non-resident investors represented by the Participant, the tax on dividends shall be withheld in the standard rate stipulated by the Romanian Tax Law:

- Unless the investors have opted for the postponed payment and have sent the certificate of tax residence until October 29, 2020. In this case, the payment of dividends shall be made on the Payment Date (November 2, 2020)

- If the investors have opted for the postponed payment but have not sent the certificate of tax residence until the latest November 30, 2020. In this case, the payment of dividends shall be made on the Postponed Payment Date (December 21, 2020).

**2. Payments by bank transfer (into accounts in RON at a bank in Romania) for the individual investors or legal entities who do not have an account opened with the Participant in accordance with the requests addressed by SAI Broker SA.**

The requests shall be sent to SAI Broker SA until the latest October 29, 2020.

- a) For the individual investors who have not cashed dividends for to the year 2017 and are fund investors on the identification date, October 26, 2020:
- o written request signed by the investor, mentioning the bank and the IBAN code of the account opened on behalf of the investor; Investors are asked to stipulate in the request the contact phone number in case that clarifications are needed.
  - o copy of the identity card;
  - o copy of the statement of account or a document issued by the bank confirming the existence of the account on behalf of the investor, mentioning the IBAN code.

The documentation can be sent by:

- mail, to the registered office of the management company in Cluj-Napoca, no 119, Motilor Street, 4<sup>th</sup> floor, county of Cluj.
- fax to 0364-780.124
- e-mail to [office@saibroker.ro](mailto:office@saibroker.ro)

- b) For the legal entities that have not cashed dividends for the year 2018 and are fund investors at the identification date, October 26, 2020:
- o request in original duly signed by the legal representative of the entity and with the seal of the company, mentioning the bank and the IBAN code of the account opened on behalf of the company; Investors are asked to mention in their request the contact phone number in case that clarifications are needed.
  - o Trade Registry certificate of attestation (not older than 30 days)
  - o copy of the identity card of the legal representative;
  - o copy of the certificate of incorporation of the company;
  - o copy of a statement of account or a document issued by the bank confirming the existence of the account on behalf of the company, mentioning the IBAN code.

The documentation stipulated above shall be sent by mail to the registered office of the management company in Cluj-Napoca, no. 119, Motilor Street, 4<sup>th</sup> floor, county of Cluj.

- c) For the investors who have cashed dividends for the year 2017 and are fund investors at the identification date, October 26, 2020.

Investors who want the payment of dividends to be made into the same bank account where the dividends for the year 2018 were paid, will send the written request signed by the investor, mentioning the bank and the IBAN code of the account opened on behalf of the investor or a request signed by the legal representative of the company bearing the seal of the company, mentioning the bank and the IBAN code of the account opened on behalf of the company.

The request can be sent by:

- mail, to the registered office of the management company in Cluj-Napoca, no. 119, Motilor Street, 4<sup>th</sup> floor, county of Cluj.
- fax to 0364-780.124
- e-mail to [office@saibroker.ro](mailto:office@saibroker.ro)

The investors who want the payment of the dividends to be made into a bank account other than the one where the dividends for the year 2017 and 2018 were paid, shall send the documents mentioned at paragraphs a) and b) above.

### **3. Payments by bank transfer to the individuals or legal entities who do not have an account opened with the Participant in accordance with the requests sent to the Central Depository**

The requests shall be sent to the Central Depository until the latest October 29, 2020.

The Central Depository gives all the investors not represented by Participants (fund holders units described in Section 1 of the Investors' Registry) the option to cash any due amount directly by bank transfer, regardless of the issuer distributing the amounts.

This option means the registration of the IBAN code with the Central Depository, which can be used to cash several or all the holding titles, and remains valid for future distributions too, until a contrary notification from the investors is received. The registration of the IBAN code with the Central Depository shall be charged in accordance with the fee list levied from the holders of securities and borne by each individual investor.

For further details regarding this payment method, the investors are asked to contact the Central Depository, by phone: 021.408.58.56 or 021.408.59.23 or by e-mail [dividende@depozitarulcentral.ro](mailto:dividende@depozitarulcentral.ro). The individuals or legal entities shall send to the Central Depository the documents needed for the payment, as follows:

a) *The individual investors, personally or through a legal or conventional representative, shall present the Central Depository the submission form of the IBAN code, mentioning the bank and the account (IBAN code) opened on behalf of the securities holder (the form is available on the site of the Central Depository - [www.depozitarulcentral.ro](http://www.depozitarulcentral.ro)), joined by:*

- copy of the identity card where the personal identification number shall be readable, certified by the holder with „conform to the original”;

- statement of account or a document issued by the bank (duly signed and sealed) confirming the existence of the account on behalf of the Holder of securities, mentioning the IBAN code, in original; copy of the documents attesting the quality of the person signing the request, as a legal or conventional representative, as the case may be – certified by the holder with „conform to the original”;

b) The legal entities, through legal or conventional representative, shall present the Central Depository the submission form of the IBAN code, mentioning the bank and the account (IBAN code) opened on behalf of the securities` holder (the form is available on the site of the Central Depository - [www.depozitarulcentral.ro](http://www.depozitarulcentral.ro)), joined by:

- copy of the incorporation certificate – certified by the holder with the mention „According to the original”;
- copy of the document which certifies the quality of the legal representative of the company (attestation certificate issued by the Trade Registry / equivalent entity – for the foreign entities) – certified by the holder „According to the original”;
- copy of the documents attesting the quality of conventional representative of the person who makes the request, if applicable– certified by the holder „According to the original”;
- statement of account or other document issued by the bank (duly signed and sealed) confirming the existence of the account on behalf of the holder – legal entity, mentioning the IBAN code, in original;

The documents written in a foreign language will have attached the certified translation into Romanian language, and if it is issued by a foreign authority, they shall bear the apostille or super legalization, as applicable.

The submission forms of the IBAN code shall be sent to the next address: Depozitarul Central SA – Bucharest, Bd. Carol I no. 34 - 36, District 2 or presented at the office of the Central Depository. The Central Depository checks the documentation sent by the Investors, and in case that the documentation is not complete, they will require the documents they still need.

#### **4. Via the payment agent - BRD Groupe Societe Generale**

a) In cash: only for individuals who do not have an account opened with the Participant - at the BRD cash desks or any BRD unit

For individual investors who are not mentioned at paragraphs 1, 2, and 3, the payment of dividends shall be made cash, starting on the payment date, November 2, 2020, at the BRD desks or any BRD unit. The list of BRD units is available on the website <http://www.brd.ro/banca/retea-unitati/> and on the [www.saibroker.ro](http://www.saibroker.ro). The cash payments shall be made within the limit of the amounts established by the applicable legislation. Investors shall present the documents mentioned in Appendix 1.

b) By bank transfer: individuals and legal entities

The individual investors and legal entities who want to be paid the dividends by bank transfer can require BRD, starting on the payment date November 2, 2020, the payment by bank transfer, presenting to the bank cash desks the documents mentioned in Appendix 1.

All the documents presented at the bank cash desks in copy shall be certified for conformity with the original, duly signed and sealed by the investor/trustee.

#### **5. For the non-resident individual investors or legal entities who do not have an account opened with the Participant**

The non-resident investors who are not represented by the Participant and want to apply the more favorable stipulations of the Agreement on the avoidance of double taxation entered between



Romania and the residence country, shall send to the office of SAI Broker SA until the latest October 29, 2020 the certificate of tax residence, in original or certified copy, with the apostille/super legalization, if applicable, joined by the certified translation into Romanian, in original.

For the payment of dividends by bank transfer, the non-resident individual investors or legal entities shall present, beside the certificate of tax residence, the documents mentioned at paragraph 2.

## 6. Deceased investors

Should deceased persons be included in the registry of investors at the Identification Date, dividends shall be paid only after the registration of the direct transfer of ownership over the fund units with the Central Depository as a result of the succession, at the request of their inheritors.

## 7. Fund units held in co-ownership

In case of the co-owned fund units, the payment of dividends shall be made as follows:

- In case of cash payments, the payments shall be made provided that all the co-owners appear at BRD personally or by legal representative and/or conventionally to present the documents stipulated for the cash payments.
- In case of the payments by bank transfer, the dividends due to the co-owners shall be transferred into the account indicated by all the co-owners on the basis of the common request sent by one of the methods indicated above
- In case of the payment to those who opened the account with the Participant, the dividends due to the co-owners shall be transferred to the Participant they are client with.
- In case that the co-owners require both the registration by the Central Depository of the direct transfer of ownership over the financial instruments as a result of the separation from the shared property, in accordance with the applicable legal provisions, and the direct payment to each of the co-owners, in accordance with the number of instruments obtained in exclusive ownership, the Central Depository shall block the payment of the dividends and the dividends shall be paid to each co-owner in compliance with this procedure.

Any modification of data in the investors' registry (name, domicile, inheritors, etc) shall be done only by the Central Depository upon the request of the investor / due person.

Additional information regarding the payment of dividends can be obtained at the registered office of the management company: Cluj- Napoca, no. 119, Motilor Street, 4<sup>th</sup> floor, County of Cluj, by phone: 0364- 260.755 or by e-mail: [office@saibroker.ro](mailto:office@saibroker.ro).

Best regards,

Adrian Danciu  
President of the Managing Board/



Bogdan Ilies  
Representative of the Compliance Department

## **Appendix 1 – List of documents needed to cash/be transferred the due amounts to the investors via the payment agent - BRD Groupe Societe Generale**

### **1. Individual investors – Payments processed in cash/bank transfers at the cash desks of the Payment Agent:**

As a resident individual investor:

- Identity card having mentioned the personal identification number (CNP); the identification of the investor by the Payment Agent shall be done on the basis of the information corresponding to CNP.

As a non-resident individual investor:

- Identification document of the investor, mentioning the data corresponding to those of registration in the registries of the Central Depository

As an individual investor aged under 14:

- identity card of the tutor /parent, mentioning the personal identification number (CNP) + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent).
- birth certificate of the investor mentioning the CNP + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent)
- The legal document founding the tutoring in case of the tutor who is not one of the parents + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent)

As a guardian of the investments of individual investors:

- identity card of the guardian, mentioning the personal identification number (CNP) + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent)
- identity card of the investor, mentioning the personal identification number (CNP) + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent).
- The legal document founding the guardianship + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent)

As a trustee of the individual investors:

- Power of attorney authenticated by a notary, including the power of attorney to cash the Amounts to be distributed issued within a maximum of 3 years before the date of payment, except for the case where the power of attorney has a validity term longer than 3 years and is valid at the date when the payment is made + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent) and the identity card of the trustee + 1 photocopy certified for conformity with the original (the photocopy is held).
- identity card of the trustee, mentioning the personal identification number (CNP) + 1 photocopy certified for conformity with the original (the photocopy shall be withheld by the Payment Agent)

Note 1: In case of co-owners, the payment shall be processed provided that all the co-owners appear at the cash desk, personally or by legal and/or conventional representative.

Note 2: The documents presented in a foreign language shall be joined by a certified translation into Romanian, and if they are issued by a foreign authority, they shall bear the apostille / superlegalization, as the case may be.

Note 3: The Payment Agent can make cash payments within the limit of the amounts established by the applicable legislation (i.e. Law No. 70/2015, valid from May 8, 2015, the amounts issued to the beneficiaries, individuals, are submitted to the daily threshold of RON 10,000 RON daily).

Note 4: In case of payments by bank transfer to banks others than BRD, a statement of account shall be attached certified by the bank where the transfer of the dividends is required or a proving document issued by the bank, mentioning the holder of the account indicated above. The holder of the account can be only the investor or, as the case may be, his/her trustee.

Exceptions:

No payments at the cash desk shall be made in the following cases:

- To the investors whose personal identification number (CNP) in the documents presented at the cash desk is not identical to that recorded in the data held by the Agent and received from the Central Depository. They shall be directed to the Central Depository.
- To the inheritors of the shareholders. They shall be directed to the Central Depository.

## **2. Legal entities – Payments processed by transfer at the cash desks of the Payment Agent:**

- The incorporation certificate of the legal entity at the Trade Registry / other equivalent document attesting the registration of the legal entity by the competent authority + 1 photocopy which shall be withheld by the Payment Agent
- Identity card of the legal representative or, as the case may be, the trustee
- Attestation Certificate from the Trade Registry / equivalent document issued by the competent authority, no older than 3 months, mentioning the legal representative of the company + 1 photocopy which shall be held by the Payment Agent.
- Power of attorney in original or certified copy (the power of attorney shall be withheld by the Payment Agent), as the case may be.
- In case of payments by bank transfer to banks other than BRD, beside the documents above, a statement of account must be attached certified by the bank where the transfer of dividends is required, or a proving document issued by the bank, mentioning the holder of the account indicated above. The holder of the account can be only the investor or, as the case may be, his/her trustee.