

DECLARATION OF INTERESTS OF AN (ALTERNATE) MEMBER OF THE INVESTMENT COMMITTEE

Legal basis:

Article 10d(5) of Directive 2003/87/EC

Article 11(4) of Implementing Regulation (EU) 2020/1001

Definitions:

"Conflict of interest" means any situation where an individual has an interest that may compromise or be reasonably perceived to compromise the individual's capacity to act independently in relation to the subject of the work of the Investment Committee.

"Immediate family member" means the individual's spouse, children and parents. "Spouse" includes a partner with whom the individual has a registered non marital regime. "Children" means the child(ren) the individual and the spouse have in common, the own child(ren) of the individual and the own child(ren) of the spouse.

"Legal entity" means any commercial business, business association, consultancy, research institution or other enterprise whose funding is significantly derived from commercial sources. It also includes independent own commercial businesses, law offices, consultancies or similar.

"Body" means a governmental, international or non-profit organisation.

"Industry or undertaking which qualifies for the Modernisation Fund support" means any organisation undertaking commercial activities in the areas specified in Article 10d(1) of Directive 2003/87/EC, including areas specified in Article 10d(2) of that directive.

"Meeting" includes a series or cycle of meetings.

Please answer each of the questions below. If the answer to any of the questions is "yes", please briefly describe relevant interests and circumstances, as appropriate.

If you do not describe relevant interests, your DOI form will be considered incomplete and, therefore, you may not participate in the work of the Investment Committee.

Please note that having a declared interest does not necessarily mean having a conflict of interest. Answering "Yes" to a question on this DOI form does not automatically disqualify you or limit your status in the Investment Committee / your participation in the works of the Investment Committee. The Investment Committee will review your answers in accordance with the Rules of Procedure of the Investment Committee and determine whether a conflict of interest relevant to the subject at hand exists.

First name and surname: Ralf Goldmann

Name of affiliation (e.g. name of the national authority): EIB

Member State: Luxembourg

Member / Alternate: Alternate

1 EMPLOYMENT, CONSULTANCY AND LEGAL REPRESENTATION

	<i>Within the past 5 years, were you employed or have you had any other professional relationship with a natural or legal entity, or held any non-remunerated post in a legal entity or other body with an interest in the industry or undertaking which qualifies for the Modernisation Fund support?</i>	yes	no
1a	Employment	☐	☒
1b	Consultancy, including services as an advisor	☐	☒
1c	Non-remunerated post	☐	☒
1d	Legal representation	☐	☒

Activity	Time period (from... until month/year)	Name of entity or body	Description

2 MEMBERSHIP OF MANAGING BODY, ADVISORY BODY OR EQUIVALENT STRUCTURE

	<i>Within the past 5 years, have you participated in the internal decision-making of a legal entity or other body with an interest in the industry or undertaking which qualifies for the Modernisation Fund support or have you participated in the works of an advisory body with voting rights on the outputs of that entity?</i>	yes	no
2a	Participation in a decision-making process	☐	☒
2b	Participation in the work of an advisory body	☐	☒

Activity	Time period (from... until month/year)	Name of legal entity or body	Description

3 RESEARCH SUPPORT

	<i>Within the past 5 years, have you, or the research entity to which you belong, received any support from a legal entity or other body with an interest in the industry or undertaking which qualifies for the Modernisation Fund support?</i>	yes	no
3a	Research support, including grants, rents, sponsorships, fellowships, non-monetary support	☐	☒

Activity	Time period (from... until month/year)	Name of legal entity or body	Description

4 FINANCIAL INTERESTS

	<i>Do you have current investments in a legal entity with an interest in the industry or undertaking which qualifies for the Modernisation Fund support, including holding of stocks and shares, and which amounts to more than 10,000 EUR per legal</i>	yes	no
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	<i>entity or entitling you to a voting right of 5% or more in such legal entity?</i>		
4a	Shares	☐	☒
4b	Other stock	☐	☒

Investment	Name of legal entity	Description

5 INTELLECTUAL PROPERTY

	<i>Do you have any intellectual property rights that might be affected by the outcome of the work carried out by the Investment Committee?</i>	yes	no
5a	Patent, trademarks, or copyrights	☐	☒
5b	Others	☐	☒

Intellectual property	Description

6 PUBLIC STATEMENTS AND POSITIONS

	<i>Within the past 5 years, have you provided any expert opinion or testimony in the field of activity of the Investment Committee, for a legal entity or other body with an interest in the industry or undertaking which qualifies for the Modernisation Fund support, as part of a regulatory, legislative or judicial process? Have you held an office or other position, paid or unpaid, where you defended an opinion/represented interests of the industry or undertaking which qualifies for the Modernisation Fund support?</i>	yes	no
6a	For a legal entity or other body as part of a regulatory, legislative or judicial process	☐	☒
6b	Represented interests or defended an opinion	☐	☒

Activity	Time period (from... until month/year)	Name of legal entity or body	Description

7 INTERESTS OF IMMEDIATE FAMILY MEMBERS

yes no

7a	To your knowledge, are there any interests of your immediate family members which could be seen as undermining your independence when participating in the works of the Investment Committee?	☐	☒
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Interests	Time period (from... until month/year)	Name of legal entity or body	Description

7b	If interests of your immediate family members are declared, it is your responsibility to inform them about the collection and publication of information on their interests included in the DOI and to provide them with the privacy statement attached to the guidance for filling in this DOI, and this at the latest when you file the DOI form with the Commission.		
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8 OTHER RELEVANT INFORMATION

yes no

8a	Are there any other elements that could be seen as undermining your independence when participating in the works of the Investment Committee?	☐	☒
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Description:

I declare on my honour that the information disclosed in this form is true and complete to the best of my knowledge.

Should there be any change to the above information, including as regards upcoming activities, I will promptly notify the secretariat of the Investment Committee and complete a new DOI form describing the changes in question.

I am informed that my personal data are stored, processed and published by Secretariat of the Investment Committee in accordance with Regulation (EU) 2018/1725.

Date: Signature: _____

In accordance with Article 10d(5) of Directive 2003/87/EC, the DOI of a member of the Investment Committee shall be made publicly available on the website of the Modernisation Fund, as long as the member is appointed to the Investment Committee. Technical measures will be taken to indicate to search engines that the DOI form should not appear in search results.