

## **Annex 1 – Declaration of Interests Form**

This Form should be used for the Declaration of Interests, as referred to in the Decision of the Administrative Board of the Agency for the Cooperation of Energy Regulators AB n° 02/2015 of 31 January 2015 (hereinafter “AB Decision 02/2015”) and, where relevant, reflecting the legislative background (Directive 2009/72/EC, Directive 2009/73/EC and Regulation (EC) No 713/2009).

Broadly speaking, there is a conflict of interest where the impartiality and objectivity of a decision, opinion or recommendation of the Agency and/or its bodies, is or might in the public perception be compromised by an interest held by, or entrusted to, an individual working for the Agency. However, having an interest does not necessarily mean having a conflict of interest. In particular, high quality of expertise is by nature based on prior experience. Declaring an interest does therefore not automatically disqualify someone or limit their participation in the activities of the Agency.

The Declaration of Interests form is not intended to provide an exhaustive list of potential interests: other elements that might jeopardise the independence of those involved when working in or with the Agency should also be indicated in the Declaration.

The completed Declarations will be reviewed in accordance with the Agency’s Policy for the prevention and management of conflicts of interest.

**Name: Dr. Jochen Penker**

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**Position / Involvement in the Board or Agency<sup>1</sup>:**

**Vice-Chair of Administrative Board**

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**I hereby declare the following interests that could be prejudicial to my independence (please specify the interest that you or your close family members<sup>2</sup> currently have or have had in the recent past<sup>3</sup>).**

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<sup>1</sup> If you are both a member of the Board of Regulators and of an Agency Working Group, please indicate both functions.

<sup>2</sup> ‘Close family members’ are considered to be the persons forming a household with the person making this declaration (spouse, partner, and/or dependent children). In case you add information on your close family

## I. Employment, consultancy, legal representation or advice

*In order to assess the possibility of a conflict of interest, please provide details of any employment held or any other professional relationship entered into in the recent past<sup>4</sup> by you or your close family members<sup>5</sup> with a natural or legal entity<sup>6</sup> or other organisation<sup>7</sup> with an interest in the field of activity of the Agency.*

- I have nothing to declare in this respect  
 I declare the following interests:

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

## II. Membership of Managing Body, Advisory Body or equivalent structure

*In order to assess the possibility of a conflict of interest, please provide details of any participation by you or your close family members<sup>8</sup> in the recent past<sup>9</sup> in the internal decision-making of a commercial entity or other organisation or in the works of an Advisory Body with voting rights on the outputs of such an entity, when there may be an interest in the field of activity of the Agency.*

- I have nothing to declare in this respect  
 I declare the following interests:

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members, please inform them that the Agency will be processing these data about them and that further information is available on the Agency's website.

<sup>3</sup> It is suggested that the Declaration covers current interest as well as those held over at least the last 5 years.

<sup>4</sup> See footnote 3.

<sup>5</sup> See footnote 2.

<sup>6</sup> This includes any commercial business, industry 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.

<sup>7</sup> This includes governmental, international or non-profit organisations.

<sup>8</sup> See footnote 2.

<sup>9</sup> See footnote 3.

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

### III. Other membership or affiliation

*In order to assess the possibility of a conflict of interest, please provide details of any membership or affiliation either of yourself or of your close family members<sup>10</sup> in the recent past<sup>11</sup>. For completeness, please also provide details of any other arrangements, other than those declared in Sections I and II above, which can be perceived as creating a potential conflict of interest.*

- I have nothing to declare in this respect  
 I declare the following interests:

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

### IV. Research funding

*In order to assess the possibility of a conflict of interest, please provide details of any support (including grants, rents, sponsorships, fellowships, non-monetary support) that you, your close family members<sup>12</sup> or any research entity to which you or your close*

<sup>10</sup> See footnote 2.

<sup>11</sup> See footnote 3.

<sup>12</sup> See footnote 2.

*family members belong(ed) has received in the recent past<sup>13</sup>, from a commercial entity or other organisation with an interest in the field of activity of the Agency.*

- I have nothing to declare in this respect  
 I declare the following interests:

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

## V. Investments

*In order to assess the possibility of a conflict of interest, please provide details of any current investment that you or your close family members<sup>14</sup> have in a commercial entity with an interest in the field of activity of the Agency (including holding of stocks and shares, stock options, equity, bonds, partnership interest in the capital of such undertaking) or in one of its subsidiaries. Investment should generally be declared only if they exceed 10,000 EUR per commercial entity or if they entitle to a voting right of 5% or more in a commercial entity<sup>15</sup>.*

- I have nothing to declare in this respect  
 I declare the following interests:

<sup>13</sup> See footnote 3.

<sup>14</sup> See footnote 2.

<sup>15</sup> You may exclude financial interests held through an investment fund, pension fund and/or interests in non-nominal unit trusts or similar arrangements, provided that these investments are broadly diversified and you have no influence on their financial management.

Investment	Name of commercial entity or organisation

## VI. Other relevant information

*In order to assess the possibility of a conflict of interest, please indicate any other elements that could be seen as jeopardising your independence when working for the Agency.*

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**I hereby declare that I have read AB Decision 02/2015 containing the Agency's Policy for the prevention and management of conflicts of interest and that the above Declaration of Interests is to my best knowledge complete and in compliance with such AB Decision 02/2015 and, where relevant, the legislative background.**

**I understand that the Declarations of Interest will be processed according to the Policy for the prevention and management of conflicts of interest and entered in a register held by the Agency.**

**The Declaration of Interest of Agency's board members, of Agency's Working Group's Chairs and Vice-Chairs, of Task Force's Conveners, of the Agency's Director and Senior Management will also be published on the Agency's website. For security and data protection reasons the signatures provided on the Declaration of Interest will not be visible when it is published on the Agency's website.**

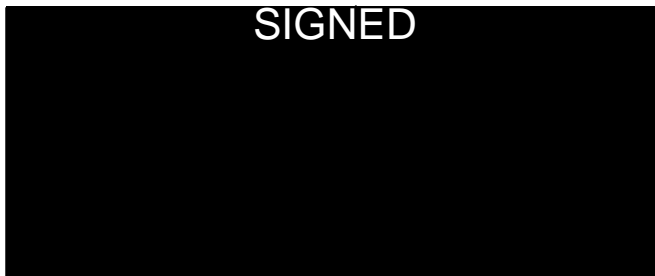
**Please note that the Agency will ensure that your personal data hereby submitted is processed in line with Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data<sup>16</sup>. For more details on the processing of your personal data, see the privacy statement applicable to your situation.<sup>17</sup>**

**If you include information on close family members, please inform them that the Agency will be processing data related to them.**

Done at Vienna On 12.1.2017

**SIGNED**

**Signature:**



<sup>16</sup> OJ L8, 12.01.2001, p.1.

<sup>17</sup> [http://www.acer.europa.eu/The\\_agency/Pages/Data-Protection.aspx](http://www.acer.europa.eu/The_agency/Pages/Data-Protection.aspx)

## **Annex 3 – Declaration of Commitment**

**(For Administrative Board and Board of Appeal members/alternates  
in line with Regulation (EC) No 713/2009)**

**I, Dr. Jochen Penker, hereby declare that I shall make all reasonable efforts to fulfil my duties as Vice-Chair of the Administrative Board of the Agency for the Cooperation of Energy Regulators.**

**I shall comply with the provisions as laid down in the Rules of Procedure of the Administrative Board and the conflict of interest rules as laid down in Decision 02/2015 of the Administrative Board of the Agency for the Cooperation of Energy Regulators of 31 January 2015.**

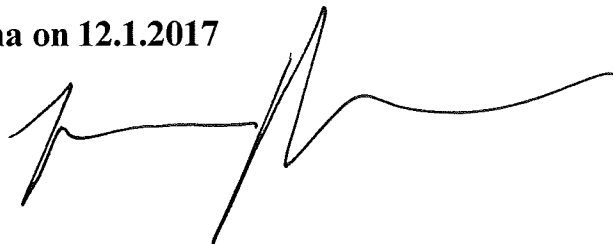
**I understand that this Declaration of Commitment will be entered in a register held by the Agency for the Cooperation of Energy Regulators and published on the Agency's website.**

**Please note that the Agency will ensure that your personal data hereby submitted is processed in line with Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data<sup>1</sup>.**

**For more details on the processing of your personal data, see the privacy statement applicable to your situation.<sup>2</sup>**

**Done at Vienna on 12.1.2017**

**Signature:**



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<sup>1</sup> OJ L8, 12.01.2001, p.1.

<sup>2</sup> [http://www.acer.europa.eu/The\\_agency/Pages/Data-Protection.aspx](http://www.acer.europa.eu/The_agency/Pages/Data-Protection.aspx)