

To,
Bucharest Stock Exchange
Financial Supervisory Authority
Sector Investment and Financial Instruments

Nr. 5618/20.10.2016

Current report under Regulation no. 1/2006

Report date: 20.10.2016

Name of the company: SSIF BRK Financial Group SA

Headquarters: Cluj Napoca, no. 119, Motilor street, Cluj County

Nr. tel: 0364.401.709 Fax: 0364.401.710

Number and date of registration at ORC: J12 / 3038/1994

CUI: 6738423, **Capital:** 54.039.987,04 lei

The regulated market on which the securities issued: BSE, premium category

Important events to report: Litigation report in accordance with art. 113, pt. A, par. (1), letter j) of the reg. NSC. 1/2006.

A. DISPUTES THE SSIF BRK Financial Group SA - IS PART – sued

1) File no. 7076/221/2014 - Court Deva

Applicant: Cotalan Petru and Cotalan Maria

Defendant: SSIF BRK Financial Group

Subject: material claims worth 59,500 lei

Solution: the Court postpones ruling

Deadline: 22.10.2016

2) File no. 2/2015 - Court of Arbitration Cluj Napoca

Applicant: Oprea Andreiu

Defendant: SSIF BRK Financial Group

Subject: material claims worth 322,369 lei,

At the hearing on 23.03.2016, the Court of Arbitration Panel refrained from giving a solution. Following will appoint another panel of arbitrators and determine otherwise.

3) File no. 1034/90/2014/a13 – Court Valcea Applicant:

AMT INSOLVENCY SERVICES

Defendant: SC HARINVEST SA and SSIF BRK Financial Group

Subject: Action for annulment

Solution: reject the plea of inadmissibility as unfounded.

With appeal rights.

Deadline: 23.11.2016.

4) File 4945/211/2016 – Court Cluj

Applicant: Luca Camelia

Defendant: SSIF BRK Financial Group

Subject: liability action

Solution: Waived res judicata relied on by the defendant. Dismisses the lawsuit filed by the applicant Luca Camelia in contradiction with the defendant SSIF "BROKER" S.A., as under the res judicata.

5) File 4947/211/2016 – Court Cluj

Applicant: Luca Adrian Nicolae

Defendant: SSIF BRK Financial Group

SA Subject: liability action

Solution: postponed the pronouncement

Deadline: 20.10.2016

6) File 4941/211/2016 – Court Cluj
Applicant: Kucaba Doina
Defendant: SSIF BRK Financial Group
Subject: liability action
Solution: The Court grants the motion to dismiss the case on grounds that the statute of limitation for filing the claim has lapsed. It dismisses the claim filed by KUCABA DOINA against the defendant BRK FINANCIAL GROUP SA.
Orders the claimant to pay the litigation costs associated with the case to the defendant in amount of 2.120 lei.

A. DISPUTES THE SSIF BRK Financial Group IS PART- claimant

- 1). File nr.6953/97/2010- Court Alba-Iulia
Applicant: SSIF BRK Financial Group
Defendant: Romanian Post National Company
Subject: claims (981,730.01 lei)
Solution: The appeal Courthouse modifies the decision delivered by the first Court and dismisses the claim.
- 2) File no. 832/90/2015 Court Valcea
Applicant: SSIF BRK Financial Group
Defendant: SC Socom SA, Stefan N. Voinea
Subject: Action for - transfer ownership
Solution: The file is suspended.
- 3) File 444/89/2016 Court Vaslui
Applicant: SSIF BRK Financial Group
Defendant: VASTEX VASLUI
Subject: claims – payment shares
Deadline: 31.10.2016
Solution: Postponed due to taking of evidence.
- 4) File 1839/2/2016. Bucharest Appeal Court
Applicant SSIF BRK Financial Group
Defendant: ASF
Subject: cancellation administrative act no. 1288/16.06.2015
Solution: At the hearing on 06.10.2016 the Court suspended the trial

Chairman of the Board
Cătălin Mancaș