



Exchange Council Election  
2024 /  
Börsenratswahl 2024

CV of Candidates / Lebensläufe  
der Kandidaten

Group 3

23.04.2024  
Leipzig

TP ICAP Broking Limited	Ben Preston
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## Ben Preston

- Highly driven individual who took control of running the European Power, CO2 and Coal desks over 18 months ago.
- 18 years + experience across various broking markets, 15 years exclusively in European power.
- High levels of consistent performance and outperforming targets as well as helping my team achieve the same.
- Strong understanding of all financial markets across the floor.
- Strong, longstanding client and work team relationships across all seniority levels.

### KEY SKILLS AND QUALITIES

- Trustworthy and loyal to my clients, team and senior management.
- Able to quickly adapt and control changing situations in a fast-paced working environment.
- Strong work ethic performing in an accurate, compliant manner.
- Always willing to learn and take on new challenges to better myself and help others around me.

### CAREER SUMMARY

#### **Director of Non Oil TP Energy , London**

May 2022-Present

- As well as continuing my below role. I now oversee additional desks including Gas , Uk Power, Base metals, weather derivatives and cross commodity options.
- I work in close partnership with my Senior management team to make sure that the business operates in line with all regulatory and compliance frameworks.

#### **European Power, C02 and Coal Desk Head: TP Energy, London**

May 2019-Present

- Managing a team of 15 brokers in London and Madrid, covering multiple trading hubs across Europe and Asia.
- Broking European power, emissions allowances, coal and gas.
- Continuously developing and evolving longstanding relationships with clients as well as trying to establish new ones.
- Specialist knowledge of being able to work spreads across both different European hubs, time horizons and other commodity classes adding to the depth of the business.
- Trading via different platforms to fulfil all client needs and expectations.
- Reputation for assisting senior management with different tasks, most recently the effects of Brexit on our business, as well as interviewing, employing and developing new brokers and interns.
- Continuously making sure that myself and the team are fully up to date with all new and developing changes that occur with regulatory bodies and compliance frameworks across all markets.

#### **Senior Commodity Broker: TP Energy, London**

September 2005-May 2019

- Broking European power and coal.
- Responsible for the management and development of client relationships across Europe.
- Trading a variety of products and hubs ranging from short to long term contacts both physically and financially.
- Helping with management to develop and move the desk forward in an ever-evolving market space.
- Gaining a fundamental understanding of what is expected of myself and the team to be up to date on all aspects of compliance frameworks and regulatory changes.

#### **Trainee Sterling Cash and Off-Balance Sheet Broker: Prebon, London**

Jan 2003-Sep 2005

- Working in a trainee role with brokers and back office staff.
- Understanding the markets that I was involved in and learning how to meet client demands.
- Assisting brokers with administration and entering deals into the relevant systems.

## FORMAL QUALIFICATIONS

- Brentwood county high sixth form college: A-levels in English, History and Business studies.
- Brentwood County High School: GCSE's top grades in 11 subjects.

S.S.I.F. Vienna Investment Trust S.A.	Adrian Simionescu
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**PERSONAL INFORMATION** Adrian SIMIONESCU**PROFESSIONAL EXPERIENCE**1998-Present  
Employer**President & General Manager**S.S.I.F. Vienna Investment Trust S.A., Bucharest ( Romania)  
(formerly Finans Securities)**Duties and responsibilities**

- a. convenes the board of directors, sets the agenda, ensures that board members are adequately informed of the items on the agenda and chairs the meeting
- b. coordinates the work of the Board and reports thereon to the general meeting of shareholders
- c. decides on the change of the registered office of the company;
- d. determines the marketing tactics and strategy;
- e. approves receipts and payments according to the same value criteria in connection with the operation of the company;
- f. approves the purchase and sale of real estate and equipment required by the company as provided for in the budget;
- g. employs and dismisses the company's executive staff, hires agents for financial investment services, individuals or exclusive representatives authorised by law;
- h. submit for approval to the general meeting of shareholders, no later than three months after the end of the financial year, the balance sheet and profit and loss account for the previous year, as well as the draft work programme and the draft budget for the current year;
- i. request, for approval by the AGM, the prior authorization of the Financial Supervisory Authority (ASF) for any change in the functioning and organization of the company, reduction or increase of capital, as well as the issue of securities, notifying the authority of changes in the management of the company and in the ownership of the share capital;
- j. Approves the contracting of professional services of external financial auditors legally registered with ASF;
- k. Performs any other duties delegated by the General Meeting of Shareholders.
- l. Decides on the relocation of the registered office, the opening and closing of branches, workplaces, agencies and other units without legal personality;
- m. appoint and dismiss the executive management of the Company;
- n. establishes and modifies the mandate and competences of the executive management of the Company;
- o. establishes the following committees: audit committee, risk management committee, nomination committee, remuneration committee. The duties of these committees are those provided for and regulated by ASF Regulation no. 3/2014;
- p. has full powers to decide on the Company's participation (including the conditions of participation), together with other natural or/and legal persons, in the establishment of new companies, as well as the acquisition of shareholdings and the sale of shareholdings in other companies;

- q. *the application of corporate governance principles, in accordance with applicable legal provisions.*
- r. *determining the main directions of the company's activity and development;*
- s. *establishing the accounting and financial control system and approving financial planning;*
- t. *appointing and dismissing directors and determining their remuneration;*
- u. *supervising the work of the directors;*
- v. *preparing the annual report, organising the general meeting of shareholders and implementing its resolutions;*
- w. *selecting and appointing members of the executive management in accordance with the requirements laid down in the regulations in force;*
- x. *monitors the achievement of the set objectives*
- y. *prepares/approves the business plan;*
- z. *carries out, on the basis of formal and transparent provisions, the evaluation of the company's financial position*

2017-Present

Member/Chairman of the Board of Directors

Employer

SAI MUNTENIA INVEST SA

Duties and responsibilities

- a. *To respect and implement the resolutions of the General Meeting of Shareholders;*
- b. *to establish an organisational structure that ensures the fulfilment of the mission and the achievement of the objective of the IF, as well as to minimise the risk of conflict of interest between:*
  - 1. *MI and investors in the entities managed by the MI;*
  - 2. *between the various investors in the entities managed by the IF;*
  - 3. *between investors and the entities managed by the IF;*
  - 4. *between the various managed entities, etc.;*
- c. *draw up and approve the IM's organisation chart;*
- d. *to arrange for the drawing up and approval of internal rules and procedures;*
- e. *to approve the staff regulations;*
- f. *to order the drafting and approval of the rules of procedure:*
  - 1. *administrative procedures for the conduct of business within the IM's departments and information/computer flows between them;*
  - 2. *accounting procedures (including those relating to the information transmitted/input via the IT system used by the IM);*
  - 3. *control and security procedures for electronic data processing;*
  - 4. *rules relating to personal transactions of IM and IM employees;*
  - 5. *procedures to ensure the separation of financial instruments belonging to the managed entities from each other and from financial instruments purchased by the IF on its own behalf;*
  - 6. *procedures to ensure that transactions carried out by the IF can be reconstructed (origin, nature, parties involved, time and place);*
  - 7. *procedures for keeping records of the transactions carried out;*
  - 8. *adequate internal control mechanisms for compliance with the above procedures and any other systems and procedures required by applicable law.*
- g. *to approve the remuneration and reward plan for I.M. staff in compliance with the minimum salary limit, labour legislation and measures to prevent, eliminate and sanction any behaviour defined by the legislation in force as discrimination of any kind;*
- h. *to establish the main directions of activity of the Ministry of Interior;*
- i. *to define the investment strategies for each managed entity in accordance with the provisions of the operating documents of the managed entities;*

- j. to approve the powers of delegation of decision and signature for the directors empowered with the effective management;*
- k. submit to the supervisory bodies and investors a half-yearly and an annual report on its own activity and the related financial statements prepared in accordance with the accounting regulations issued by the A.S.F. (C.N.V.M.); the annual report/statements must be certified by a financial auditor who is a member of the Chamber of Financial Auditors of Romania and who meets the common criteria established by the A.S.F. (C.N.V.M.) and the C.A.F.R.; the reports will be disseminated within the reporting deadlines and in the form prescribed by the relevant regulations in force;*
- l. to approve, for authorisation by the A.S.F., the necessary operating documents for the managed entities;*
- m. to approve the conclusion of management contracts, where applicable, with the entities managed by the MI; to approve the conclusion of depositary contracts for the managed entities, distribution contracts, registrar contracts, audit contracts, intermediation contracts with financial investment services companies, as well as financial audit contracts, on behalf of the managed entities, in compliance with the legal provisions;*
- n. to endorse and submit to the AGM for approval any changes in the organisation and functioning of the IF relating to: share capital, object of activity, shareholder structure, composition of the Board of Directors, change of registered office, name of the company, establishment of secondary offices and any other changes to the articles of association;*
- o. submit for authorisation/notification to the ASF, in compliance with the provisions of the Capital Market Law and the relevant regulations, all changes to the instruments of incorporation as submitted for authorisation of the MI or the managed entities;*
- p. to submit to the ASF half-yearly reports on compliance with the provisions of the relevant regulations in force concerning the amount of initial capital and the level of own funds, attaching supporting documents;*
- q. to submit to the General Meeting of Shareholders, within the legal deadline, the activity report, the financial statements and the financial auditor's report;*
- r. to keep, under its responsibility, the register of shareholders, the register of meetings and deliberations of the General Meeting of Shareholders, the register of meetings and deliberations of the Board of Directors and, if applicable, the register of bonds;*
- s. to deal with any other matters laid down by the General Meeting of Shareholders;*
- t. to monitor, through the specialised department, the exercise of voting rights arising from the holding of financial instruments by the managed entities in various issuers, in accordance with internal procedures;*
- u. to appoint and dismiss the persons who ensure the effective management (General Manager/Corporate Administration Manager) and their substitutes, to determine their remuneration and to notify the ASF of the above-mentioned appointments;*
- v. to approve the maximum limits on the delegation of powers to the persons exercising effective control (the Managing Director/Corporate Administration Director);*
- w. to supervise the work of the persons who exercise effective control (the Director General/Corporate Administration Director);*
- x. to appoint the persons for the function of representative of the Internal Control Department and to transmit to the ASF the documents for the authorisation of these persons;*
- y. to ensure that the I.M. complies strictly with all the conditions on the basis of which it was authorised as an S.A.I.;*
- z. to take measures to respect the confidentiality of data and information relating to the managed entities, sanctioning, in accordance with the legal provisions and those of the specific documentation, any violation by employees of the obligations assumed in this respect;*
- aa. to implement mechanisms to identify potential risks that may affect the achievement of the objectives of the IF and the entities under the IF's management and to approve procedures to eliminate/minimise the influence of the above-mentioned risks;*
- bb. to provide for the necessary measures for the IM to use an IT system that ensures the safe keeping of information specific to the object of activity as defined in the Capital Market Law and in the relevant regulations in force;*



- cc. approve the internal audit plan;
- dd. to analyse the periodic reports drawn up by the internal auditor and to order the necessary measures to mitigate/eliminate the risks identified in these reports;
- ee. to approve the investigation plan drawn up by the Internal Control Department;
- ff. review the periodic/exceptional reports prepared by the Internal Control Department and order measures to eliminate any situations of non-compliance with the provisions specified in the Capital Market Act and the relevant regulations in force
- gg. to notify the ASF and capital market institutions of the situations found by the Internal Control Department concerning violations of the capital market regime and the measures adopted;
- hh. approve procedures for the identification, quantification, reporting and control of significant risks;
- ii. to approve the valuation methods of financial securities in the portfolios of the managed entities in compliance with International Valuation Standards and the relevant regulations in force;
- jj. to take any necessary and useful measures to carry out its activities within the limits of its legal and statutory powers;
- kk. to approve asset valuation methods which ensure the protection of investors' interests and the integrity of the market, acting honestly, fairly and with professional diligence;
- ll. carry out initial and periodic assessment of the performance of the valuator in fulfilling its duties, where responsibility for the valuation of assets of managed entities is delegated to an independent valuator;
- mm. carry out annually, where appropriate, through a third party appointed with due regard to the need to avoid conflicts of interest, a review of the valuation procedures and methods used to ensure their continued appropriateness and effective implementation, where applicable.

2013-Present  
Employer

Member of the Board of Directors  
CENTRAL DEPOSITORY S.A.

#### Duties and responsibilities

- a. Establishment of special committees and appointment of members and alternates;
- b. Adoption of security and control mechanisms for information systems, to ensure the safe keeping of stored data and information, files and databases, including in the event of special events;
- c. Appointing, dismissing and setting the salary of the General Manager and Deputy General Managers of the Company, approving their job descriptions;
- d. Supervision of the activities of the General Manager and Deputy General Managers of the Company;
- e. Verifying that the persons in management or control positions in the Company meet the requirements of integrity and professional experience;
- f. Approving and amending the Company's Staff Salary Regulations, the Company's Organization and Functioning Regulations and the Company's organizational chart, as well as the general rules on hiring and dismissal of the Company's staff, the regime of rights and obligations, duties and competences of the employees, in compliance with the conditions of training, education and skills;
- g. Adoption of the draft budgets of the Company;
- h. The specific reports of the Board of Directors, drawn up on the basis of the annual financial statements, as well as the draft business plan and the draft budget for the current year;
- i. Approval, conclusion of legal acts;
- j. Establishing the main directions of activity and development of the company;
- k. Resolution of appeals against decisions of the General Manager and Deputy General Managers of the Company;

- l. *The registers provided for in Law no. 31/1990 on companies republished;*
- m. *Approval of the operational risk management procedure and any subsequent amendments thereto, while being responsible for its application;*
- n. *Approving and concluding contracts for the lease of premises and equipment, as well as contracts for the provision of services in connection with the Company's object of activity, under the conditions established by the general meeting of shareholders;*
- o. *Approval and conclusion of contracts for the management of the technical and electronic systems used by the Company;*
- p. *Adoption and amendment of regulations on professional standards required of persons performing operations on the system managed by the Company;*
- q. *Approval of the procedure for the sale of the Company's shares and the conduct of General Meetings of Shareholders by correspondence;*
- r. *Any other resolutions on issues, proposals or assignments given in competence by the General Meeting of Shareholders, the regulations of the Financial Supervisory Authority or by the regulations of the Company;*
- s. *Approval and participation in the share capital of other companies in compliance with the provisions of Law no. 31/1990 on companies and the regulations of the Financial Supervisory Authority.*
- t. *Approval, establishment or dissolution of secondary offices: branches, agencies, representatives or other such units without legal personality, in the country and/or abroad.*
- u. *Approval of the internal regulations of the Company, in accordance with the Labour Code.*
- v. *Establishing the accounting and financial control system and approving the financial planning;*
- w. *Preparation of the annual report, organisation of the general meetings of shareholders and implementation of their resolutions;*
- x. *Filing applications for the opening of the company's insolvency proceedings, according to the Law no. 85/2014 on insolvency prevention and insolvency proceedings.*

2013-present  
Employer

President, Authorized Lecturer A.S.F.  
MILLENIUM FINANCIAL TRAINING CENTRE

#### Duties and responsibilities

##### President

- a. Represents the Association in relations with third parties and ensures its smooth functioning;
- b. Presides over the meetings of the General Assemblies and the Board of Directors; Other duties.

##### Lecturer

- a. *Identifies training needs;*
- b. *Plans training programmes;*
- c. *Establishes the aims and objectives of training and/or presentations, as well as training methods;*
- d. *develops training materials, case studies, role-play, etc;*
- e. *effectively supports training programmes (initial vocational training and continuing vocational training in finance) in accordance with the needs and objectives of the*

*beneficiaries;*

- f. provides feedback/evaluation of trainees and produces training reports to beneficiaries;*
- g. elaborates proposals for other needs identified during training and makes development proposals...*

2016-2019 **Manager**

**Employer**

Progressio Capital Partners (formerly Delta Energy Management) S.a.r.l.,  
Luxembourg

**Duties and responsibilities**

*Represents the company in relations with third parties and ensures its proper functioning;  
Other duties.*

2002-2012 **Member of the Board of Directors**

**Employer**

ROMANIAN RAILWAY GROUP

**Duties and responsibilities**

- a. Project management based on quality and quantity indicators in relevant areas of activity;
- b. Efficient, dynamic and specific management to achieve the company's major objectives - "safe and quality transport";
- c. Quick adaptation to the requirements of the transport market;
- d. Marketing strategy development until its completion;
- e. Management of the company's financial resources;
- f. Regional development and investment strategies;
- g. Private equity.

1995-2001 **University Lecturer**

**Employer**

ACADEMY OF ECONOMIC STUDIES

**Duties and responsibilities**

- a. *International economic relations,*
- b. *Banks and Stock Exchanges,*
- c. *Judicial and Extrajudicial Expertise Strategies,*
- d. *International Banking Financial Management and Marketing*

1994-1998 **Executive Director**

**Employer**

ROMANIAN INVESTMENT INSTITUTE

**Duties and responsibilities**

- a. *Responsible for each subordinate department, in accordance with the regulations of the National Securities Commission and the regulations in force;*
- b. *Planning the development of media and advertising; Establishing the payroll plan and personnel policy;*
- c. *Establishing the budget for each department, the trading limits;*
- d. *Rational development of investment and business strategy;*
- e. *Identifying opportunities to reduce costs and increase revenues;*
- f. *Studying and analyzing the evolution of the capital market, the company's position on the market;*

- g. *Selection of staff in accordance with the organization chart;*
- h. *Coordination of specific current operations;*
- i. *Approval of the income and expenditure budget;*
- j. *Responsibility for the development of the territorial network;*
- k. *Negotiation of contracts;*
- l. *Responsibilities in relation with market institutions;*
- m. *Development of clients' investment portfolios;*
- n. *Marketing strategies for investment and acquisition companies;*
- o. *Management of house and individual client portfolios;*
- p. *Private placements;*
- q. *Private equity;*
- r. *Institutional Finance, Public Offerings, Privatisations, Mergers and Acquisitions.*

## EDUCATION AND TRAINING

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2002-2007	<b>Law Degree</b>
Education unit	Bioterra University Bucharest - Faculty of Law
2002-2007	<b>Law Degree</b>
	Bioterra University Bucharest - Faculty of Law
1996-2002	<b>PhD in Economics</b>
	Academy of Economic Studies - Faculty of International Economic Relations
1995-1996	<b>Master - Quality Management and Crisis Management</b>
	Academy of Economic Studies
1990-1995	<b>Economist</b>
	Academy of Economic Studies
1993-1994	<b>Banking, Stock Exchanges and Capital Markets; Financial Accounting; Marketing &amp; Management.</b>
	Institute Superieur de Gestion - Paris
1992-1994	<b>Education, Pedagogy, Psycho-pedagogy and Psychology</b>
	Academy of Economic Studies
1986-1990	<b>Finance and Accounting</b>
	Economic High School, Suceava

- 2004 **Internal Control Representative**  
National Securities Commission
  
- 2004 **Stockbroker - Bonds and derivatives for the "ARENA" trading system**  
Bucharest Stock Exchange
  
- 2002 **Stockbroker for the "ARENA" trading system**  
Bucharest Stock Exchange
  
- 1997 **Stockbroker for the "HORIZON" trading system**  
Bucharest Stock Exchange
  
- 1997 **Securities management**  
The Intradoss GROUP - U.S.A.I.D & N.A.S.D.
  
- 1997 **Organisation and functioning of Stock Exchanges and Regulatory Authorities**  
Warsaw Stock Exchange and Prague Stock Exchange & S.E.C.
  
- 1996 **Quality Management and Crisis Management**  
University of Toronto & Black Sea University
  
- 1996 **Settlement and Depository System and Share Register**  
The Intradoss GROUP & SNCDD
  
- 1996 **Pricing and Valuation, Investment Fund Management & Corporate Finance; Accounting, Investment Analysis;**  
United Kingdom Know How Fund and Ernst & Young
  
- 1995 **Electronic Trading Systems - Stockbroker & Principal for the OTC market**  
The Intradoss GROUP, USAID & RASDAQ
  
- 1995 **Broker, Trading Specialist, Brokerage Accounting**  
Bucharest Stock Exchange
  
- 1995 **Securities Agent**  
The Intradoss GROUP, National Securities Commission & National Securities Association Stock Exchanges and Capital Market

1994-1995 **Fund Management, Corporate Finance, Investment Analysis**  
National Bank of Romania, Romanian Banking Institute & United Kingdom Know How Fund

1994-1995 **Basic notions in Business Management**  
European Business School - Dragan

PERSONAL SKILLS

Mother tongue(s) Romanian

Other known languages

	WELCOME		SPEAK		WRITE
	Listening	Read	Participation in the conversation	Oral speech	
English	C2	C2	C2	C2	C2
French	C1	C1	C1	C1	C1
Russian	C1	C1	C1	C1	C1

Levels: A1 and A2: Elementary user - B1 and B2: Independent user - C1 and C2: Experienced user  
Common European Framework of Reference for Languages

Digital competence

SELF-ASSESSMENT				
Information processing	Communicate	Content creation	Security	Problem solving
Experienced user	Experienced user	Experienced user	Experienced user	Experienced user

Digital competences - Self-assessment grid