



Part 5

Data on supervisory measures and administrative penalties (year 2016)

| Supervisory measures* | | data |
|---|--|------|
| Credit institutions | | |
| Supervisory measures taken in accordance with Article 102(1)(a) | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU: | 0 |
| | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | 0 |
| | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | 0 |
| | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | 0 |
| | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | 0 |
| | to restrict/limit business or activities [Article 104(1)(e)] | 0 |
| | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | 0 |
| | to limit variable remuneration [Article 104(1)(g)] | 0 |
| | to strengthen own funds by using net profits [Article 104(1)(h)] | 0 |
| | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | 0 |
| | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | 0 |
| | to impose specific liquidity requirements [Article 104(1)(k)] | 0 |
| | to impose additional disclosure requirements [Article 104(1)(l)] | 0 |
| | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | 0 |
| Supervisory measures taken in accordance with Article 102(1)(b) and other provisions of Directive 2013/36/EU or Regulation (EU) No 575/2013 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU: | 8 |
| | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | 5 |
| | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | 0 |
| | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | 0 |
| | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | 0 |
| | to restrict/limit business or activities [Article 104(1)(e)] | 0 |
| | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | 0 |
| | to limit variable remuneration [Article 104(1)(g)] | 0 |
| | to strengthen own funds by using net profits [Article 104(1)(h)] | 0 |
| | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | 0 |
| | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | 0 |
| | to impose specific liquidity requirements [Article 104(1)(k)] | 3 |
| | to impose additional disclosure requirements [Article 104(1)(l)] | 0 |
| | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | 11 |

* Due to differences in national regulations as well as in supervisory practices and approaches across the Member States the figures provided in this table might not allow for a meaningful comparison between countries and any conclusions without carefully considering these differences can be misleading

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C: confidential

| Supervisory measures* | | data |
|---|---|------|
| Investment firms | | |
| Supervisory measures taken in accordance with Article 102(1)(a) | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU: | 0 |
| | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | 0 |
| | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | 0 |
| | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | 0 |
| | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | 0 |
| | to restrict/limit business or activities [Article 104(1)(e)] | 0 |
| | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | 0 |
| | to limit variable remuneration [Article 104(1)(g)] | 0 |
| | to strengthen own funds by using net profits [Article 104(1)(h)] | 0 |
| | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | 0 |
| | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | 0 |
| | to impose specific liquidity requirements [Article 104(1)(k)] | 0 |

| | | |
|---|--|----|
| | to impose additional disclosure requirements [Article 104(1)(l)] | 0 |
| | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | 0 |
| Supervisory measures taken in accordance with Article 102(1)(b) and other provisions of Directive 2013/36/EU or Regulation (EU) No 575/2013 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU: | 49 |
| | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | 1 |
| | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | 8 |
| | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | 0 |
| | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | 0 |
| | to restrict/limit business or activities [Article 104(1)(e)] | 0 |
| | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | 39 |
| | to limit variable remuneration [Article 104(1)(g)] | 0 |
| | to strengthen own funds by using net profits [Article 104(1)(h)] | 0 |
| | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | 0 |
| | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | 1 |
| | to impose specific liquidity requirements [Article 104(1)(k)] | 0 |
| | to impose additional disclosure requirements [Article 104(1)(l)] | 0 |
| Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | 20 | |

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| Administrative penalties | | data |
|--|---|------|
| Credit institutions | | |
| Administrative penalties (for breaches of authorisation/acquisitions of qualifying holding requirements) | Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: | 0 |
| | public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)] | 0 |
| | orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)] | 0 |
| | administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)] | 0 |
| | suspensions of the voting rights of shareholders [Article 66 (2)(f)] | 0 |
| | Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) | 0 |
| Administrative penalties (for other breaches of requirements imposed by Directive 2013/36/EU or Regulation (EU) N° 575/2013) | Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied: | 1 |
| | public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)] | 1 |
| | orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)] | 0 |
| | withdrawals of authorisation of credit institution [Article 67(2)(c)] | 0 |
| | temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)] | 0 |
| | administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)] | 0 |
| Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU) | 0 | |
| Investment firms | | |
| Administrative penalties (for breaches of authorisation/acquisitions of qualifying holding requirements) | Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: | 0 |
| | public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)] | 0 |
| | orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)] | 0 |
| | administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] | 0 |
| | suspensions of the voting rights of shareholders [Article 66 (2)(f)] | 0 |
| | Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) | 0 |
| Administrative penalties (for other breaches of requirements) | Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: | 0 |
| | public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)] | 0 |
| | orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)] | 0 |
| | withdrawals of authorisation of investment firms [Article 67(2)(c)] | 0 |

| | | |
|---|---|-----------------------|
| imposed by Directive 2013/36/EU or Regulation (EU) N° 575/2013) | temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)] | 0 |
| | administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)] | 0 |
| | Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU) | 1 Supervisory Warning |

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