

## Annex IV

## PART 3

Data on supervisory measures and administrative penalties <sup>(1)</sup> (year 2021)

Supervisory measures			Data
010	Supervisory measures taken in accordance with Article 38 (a)	Total number of supervisory measures taken in accordance with Article 39(2) of Directive (EU) 2019/2034	0
020		to hold own funds in excess of the minimum capital requirements [Article 39(2)(a)]	0
030		to reinforce governance arrangements and internal capital and liquid assets management [Article 39(2)(b)]	0
040		to present a plan to restore compliance with supervisory requirements [Article 39(2)(c)]	0
050		to apply a specific provisioning policy or treatment of assets [Article 39(2)(d)]	0
060		to restrict/limit business or activities [Article 39(2)(e)]	0
070		to reduce the risk inherent in the activities, products and systems, including outsourced activities [Article 39(2)(f)]	0
080		to limit variable remuneration [Article 39(2)(g)]	0
090		to strengthen own funds by using net profits [Article 39(2)(h)]	0
100		to restrict/prohibit distributions or interest payments [Article 39(2)(i)]	0
110		to impose additional or more frequent reporting requirements [Article 39(2)(j)]	0
120		to impose specific liquidity requirements [Article 39(2)(k)]	0
130		to impose additional disclosure requirements [Article 39(2)(l)]	0
140		to reduce risks posed to the security of investment firms' network and information systems [Article 39(2)(m)]	0
150		Number and nature of other supervisory measures taken (not listed in Article 39(2) of Directive (EU) 2019/2034)	1
160	Supervisory measures taken in accordance with Article 38(b) and other provisions of Directive (EU) 2019/2034 or Regulation (EU) 2019/2033	Total number of supervisory measures taken in accordance with Article 39(2) of Directive (EU) 2019/2034	0
170		to hold own funds in excess of the minimum capital requirements [Article 39(2)(a)]	0
180		to reinforce governance arrangements and internal capital and liquid assets management [Article 39(2)(b)]	0
190		to present a plan to restore compliance with supervisory requirements [Article 39(2)(c)]	0
200		to apply a specific provisioning policy or treatment of assets [Article 39(2)(d)]	0
210		to restrict/limit business or activities [Article 39(2)(e)]	0
220		to reduce the risk inherent in the activities, products and systems, including outsourced activities [Article 39(2)(f)]	0
230		to limit variable remuneration [Article 39(2)(g)]	0
240		to strengthen own funds by using net profits [Article 39(2)(h)]	0
250		to restrict/prohibit distributions or interest payments [Article 39(2)(i)]	0
260		to impose additional or more frequent reporting requirements [Article 39(2)(j)]	0
270		to impose specific liquidity requirements [Article 39(2)(k)]	0
280		to impose additional disclosure requirements [Article 39(2)(l)]	0
290		to reduce risks posed to the security of investment firms' network and information systems [Article 39(2)(m)]	0
300		Number and nature of other supervisory measures taken (not listed in Article 39(2) of Directive (EU) 2019/2034)	4

Administrative penalties <sup>(2)</sup>			Data
010	Administrative penalties (for other breaches of requirements imposed by Directive (EU) 2019/2034 or Regulation (EU) 2019/2033)	Total number of administrative penalties from Article 18(2) of Directive (EU) 2019/2034 applied:	0
020		public statements identifying the natural/legal person responsible and the nature of the breach [Article 18(2)(a)]	0
030		orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 18(2)(b)]	0
040		temporary bans against natural person from exercising functions in investment firms [Article 18(2)(c)]	0
050		administrative pecuniary penalties imposed on legal/natural person [points (d) to (f) of Article 18(2)]	0
060		Number and nature of other administrative penalties applied (not specified in Article 18(2) of Directive (EU) 2019/2034)	0

Competent authorities shall not disclose supervisory actions or decisions directed at specific investment firms. When publishing information on the general criteria and methodologies, competent authorities shall not disclose any supervisory measures directed at specific investment firm whether taken with respect to a single investment firm or to a group of investment firms.

(1) Information shall be reported based on the date of decision. Due to differences in national regulations as well as in supervisory practices and approaches across the competent authorities, the figures provided in this table might not allow for a meaningful comparison between jurisdictions. Any conclusions without carefully considering these differences can be misleading.

(2) The administrative penalties imposed by competent authorities. Competent authorities shall report all administrative penalties against which there is no appeal available in their jurisdiction by the reference date of the disclosure. Competent authorities of Member States where it is permitted to publish administrative penalties subject to an appeal, shall also report those administrative penalties unless the appeal annulling the administrative penalty is issued.