



Supervisory actions and measures*		SE
Credit institutions		
Supervisory actions	Number of on-site inspections	13
	Number of overall assessments performed	14
Supervisory measures	Total number of supervisory measures from Article 104(1) of Directive 2013/36/EU taken:	
	to hold own funds in excess of the capital requirements [Article 104(1)(a)]	
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	
	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
	to restrict/limit the business or to divest activities [Article 104(1)(e)]	
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
	to limit variable remuneration [Article 104(1)(g)]	
	to use net profits to strengthen own funds [Article 104(1)(h)]	
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	
	to impose specific liquidity requirements [Article 104(1)(k)]	
	to make additional disclosures [Article 104(1)(l)]	
Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)		
Investment firms		
Supervisory actions	Number of on-site inspections	136
	Number of overall assessments performed	
	Total number of supervisory measures from Article 104(1) of Directive 2013/36/EU taken:	
	to hold own funds in excess of the capital requirements [Article 104(1)(a)]	
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	

Supervisory measures	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
	to restrict/limit the business or to divest activities [Article 104(1)(e)]	
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
	to limit variable remuneration [Article 104(1)(g)]	
	to use net profits to strengthen own funds [Article 104(1)(h)]	
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	
	to impose specific liquidity requirements [Article 104(1)(k)]	
	to make additional disclosures [Article 104(1)(l)]	
	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	

Administrative penalties		SE
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:	1
	requests for a public statement identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	
	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	
	administrative pecuniary penalties of up to 10% of the total annual net turnover of a legal person [Article 66(2)(c)]	1
	administrative pecuniary penalties of up to EUR 5 000 000 for natural persons [Article 66(2)(d)]	
	administrative pecuniary penalties of up to twice the amount of the profits gained or losses avoided because of the breach [Article 66(2)(e)]	
	suspensions of voting rights by shareholders responsible for the breaches [Article 66 (2)(f)]	
	Number and nature of other administrative penalties applied (not enlisted in Article 66(2) of Directive 2013/36/EU)	
	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	1
	requests for a public statement identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	

Administrative penalties - for other breaches of requirements imposed by Directive 2013/36/EU or Regulation (EU) N° 575/2013	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)]	1
	withdrawals of the authorisation of the institution [Article 67(2)(c)]	1
	temporary bans against natural person from exercising functions in institutions [Article 67(2)(d)]	
	administrative pecuniary penalties of up to 10 % of the total annual net turnover of a legal person [Article 67(2)(e)]	1
	administrative pecuniary penalties of up to EUR 5 000 000 for natural persons [Article 67(2)(f)]	
	administrative pecuniary penalties of up to twice the amount of the profits gained or losses avoided because of the breach where those can be determined [Article 67(2)(g)]	
	Number and nature of other administrative penalties applied (not enlisted in Article 66(2) of Directive 2013/36/EU)	
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:	
	requests for a public statement identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	
	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	
	administrative pecuniary penalties of up to 10% of the total annual net turnover of a legal person [Article 66(2)(c)]	
	administrative pecuniary penalties of up to EUR 5 000 000 for natural persons [Article 66(2)(d)]	
	administrative pecuniary penalties of up to twice the amount of the profits gained or losses avoided because of the breach [Article 66(2)(e)]	
	suspensions of voting rights by shareholders responsible for the breaches [Article 66(2)(f)]	
	Number and nature of other administrative penalties applied (not enlisted in Article 66(2) of Directive 2013/36/EU)	
	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	
	requests for a public statement identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	
	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)]	

Administrative penalties - for other breaches of requirements imposed by Directive 2013/36/EU or Regulation (EU) N° 575/2013	withdrawals of the authorisation of the institution [Article 67(2)(c)]	
	temporary bans against natural person from exercising functions in institutions [Article 67(2)(d)]	
	administrative pecuniary penalties of up to 10 % of the total annual net turnover of a legal person [Article 67(2)(e)]	
	administrative pecuniary penalties of up to EUR 5 000 000 for natural persons [Article 67(2)(f)]	
	administrative pecuniary penalties of up to twice the amount of the profits gained or losses avoided because of the breach where those can be determined [Article 67(2)(g)]	
	Number and nature of other administrative penalties applied (not enlisted in Article 66(2) of Directive 2013/36/EU)	

*) 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

Index: N/A: not available C: confidential

For an overview regarding statistical data on credit institutions in the EU Member States see the corresponding table on the EBA website.

[EBA website](#)