EN

Annex IV

Part 5 Data on supervisory measures and administrative penalties ⁽¹⁾ (year 2019)

		Supervisory measures	data
	Credit ins	titutions	
010		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	[Value]
011		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	[Value]
012		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	[Value]
013		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	[Value]
014	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	[Value]
015	measures	to restrict/limit business or activities [Article 104(1)(e)]	[Value]
016	taken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	[Value]
017	accordance	to limit variable remuneration [Article 104(1)(q)]	[Value]
018	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	[Value]
019	102(1)(a)	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	[Value]
020	102(1)(0)	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	[Value]
021		to impose specific liquidity requirements [Article 104(1)(k)]	[Value]
022		to impose additional disclosure requirements [Article 104(1)(I)]	[Value]
023		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	[Value]
024	Supervisory	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	[Value]
025	measures	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	[Value]
026	taken in	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	[Value]
027	accordance	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	[Value]
028	with Article	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	[Value]
029	102(1)(b)	to restrict/limit business or activities [Article 104(1)(e)]	[Value]
030	and other	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	[Value]
031	provisions of	to limit variable remuneration [Article 104(1)(q)]	[Value]
032	Directive	to strengthen own funds by using net profits [Article 104(1)(h)]	[Value]
033	2013/36/EU	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	[Value]
034	or	to impose additional or more frequent reporting requirements [Article 104(1)(i)]	[Value]
035	Regulation	to impose specific liquidity requirements [Article 104(1)(k)]	[Value]
036	(EU) No	to impose additional disclosure requirements [Article 104(1)(1)]	[Value]
037	575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	[Value]

		Supervisory measures	d
	Investme		
037		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	70
038		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	[V
039		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	[V
040		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	[V
041	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	[V
042	measures taken in	to restrict/limit business or activities [Article 104(1)(e)] to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	[V
044	accordance	to limit variable remuneration [Article 104(1)(q)]	IV
045	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	[V
046	102(1)(a)	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	[V
047	(-)(-)	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	[V
048		to impose specific liquidity requirements [Article 104(1)(k)]	[V
049		to impose additional disclosure requirements [Article 104(1)(1)]	[V
050	Supervisory	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	Įv.
052	measures	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	IV
053	taken in	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	[V
054	accordance	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	[V
055	with Article	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	[V.
056	102(1)(b)	to restrict/limit business or activities [Article 104(1)(e)]	[V.
057	and other	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	[V.
058	provisions of	to limit variable remuneration [Article 104(1)(g)]	[V
059 060	Directive	to strengthen own funds by using net profits [Article 104(1)(h)]	[V
060	2013/36/EU	to restrict/prohibit distributions or interest payments [Article 104(1)(i)] to impose additional or more frequent reporting requirements [Article 104(1)(j)]	[V.
061	or	to impose additional or more frequent reporting requirements [Article 104(1)())] to impose specific liquidity requirements [Article 104(1)(k)]	[v.
063	Regulation	to impose specific liquidity requirements [Article 104(1)(k)] to impose additional disclosure requirements [Article 104(1)(l)]	[V
064	(EU) No 575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	/V
	,		_
		Administrative penalties (2)	d
	Credit instit	utions	
065	Administrati	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	
	ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article	
066	(for breaches	66(2)(a)]	
067	of authorisation/	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	
	acquisitions		
068	of qualifying	administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	
069	holding	suspensions of the voting rights of shareholders [Article 66 (2)(f)]	
	requirements)	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive	
070		2013/36/EU)	
071	Administrati	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	
072	ve penalties (for other	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	
073	breaches of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	
073	requirements	repetition of that conduct [Article 67(2)(b)]	
074	imposed by	withdrawals of authorisation of credit institution [Article 67(2)(c)]	
075	Directive 2013/36/EU	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)]	
076	or Regulation (EU)	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	
	N°	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive	
	575/2013)	2013/36/EU)	
077		firms	
077	Investment		
077	Investment	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	
	Administrati ve penalties	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	
078	Administrati	public statements 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	
078 079 080	Administrati ve penalties (for breaches of authorisation/	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(6)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	
078 079 080 081	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying	public statements identifying the natural/legal person responsible and the nature of the breach (Article 66(22)ea) orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 66(2)eb) administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	
078 079 080	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(22)(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 imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the voting rights of shareholders [Article 66 (2)(f)]	
078 079 080 081	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying	public statements identifying the natural/legal person responsible and the nature of the breach (Article 66(22)ea) orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 66(2)eb) administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	
078 079 080 081 082	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements)	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27)ea)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)te]) administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the voting rights of shareholders [Article 66 (2)(f)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 20.33 756(EU)	
078 079 080 081 082 083	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements)	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27(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 imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the voting rights of shareholders [Article 66 (2)(f)] Number and nature of their administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU] Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	
078 079 080 081 082	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements)	public statements identifying the natural/legal person responsible and the nature of the breach (Article 66(22(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 imposed on a legal person (points (c) to (e) of Article 66(2)) suspensions of the voting rights of shareholders (Article 66 (2)(ff)) Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) Total number of administrative penalties from Article 66(2) of Directive 2013/36(EU) public statements identifying the natural/legal person responsible and the nature of the breach (Article 67(2)(a))	
078 079 080 081 082 083 084	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27(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 imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the voting rights of shareholders [Article 66 (2)(f)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/39(FU) Total number of administrative penalties from Article 66(2) of Directive 2013/36(FU) applied: public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	
078 079 080 081 082 083 084 085	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties (for other	public statements identifying the natural/legal person responsible and the nature of the breach (Article 66(27(a)) orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 66(27(b)) administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] asspensions of the voting rights of shareholders (Article 66 (2)(ff)) suspensions of the voting rights of shareholders (Article 66(2)(ff)) asspensions of the voting rights of shareholders (Article 66(2)) of Directive 2013/36(EU) Total number of administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) article shareholders (Article 66(2)) of Directive 2013/36(EU) applied (not specified in Article 66(2)) of Directive 2013/36(EU) article shareholders (Article 67(2)(b)) article shareholders (Article 67(2)(b)) article requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 67(2)(b))	
078 079 080 081 082 083 084	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties (for other breaches of requirements imposed by	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27(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 imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the voting rights of shareholders [Article 66 (2)(f)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/39(FU) Total number of administrative penalties from Article 66(2) of Directive 2013/36(FU) applied: public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	
078 079 080 081 082 083 084 085	Administrati (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties (for other breaches of requirements	public statements identifying the natural/legal person responsible and the nature of the breach (Article 66(27(a)) orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 66(27(b)) administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] asspensions of the voting rights of shareholders (Article 66 (2)(ff)) suspensions of the voting rights of shareholders (Article 66(2)(ff)) asspensions of the voting rights of shareholders (Article 66(2)) of Directive 2013/36(EU) Total number of administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) article shareholders (Article 66(2)) of Directive 2013/36(EU) applied (not specified in Article 66(2)) of Directive 2013/36(EU) article shareholders (Article 67(2)(b)) article shareholders (Article 67(2)(b)) article requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 67(2)(b))	
078 079 080 081 082 083 084 085 086 087	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties (for other breaches of requirements imposed by Directive 2013/36/EU or Regulation	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27)ea)] 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 imposed on a legal person [points (c) to (e) of Article 66(2))] suspensions of the voting rights of shareholders [Article 66 (2)(f)]] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(c)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct (Article 67(2)(d)) withdrawaks of authorisation of interestment firms [Article 67(2)(c)] temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)]	
078 079 080 081 082 083 084 085	Administrati ve penalties (for breaches of authorisation/ acquisitions of qualifying holding requirements) Administrati ve penalties (for other breaches of requirements imposed by Directive 2013/36/EU	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(27(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 imposed on a legal person [points (c) to (e) of Article 66(2))] suspensions of the voting rights of shareholders [Article 66 (2)(f)]] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) Total number of administrative penalties from Article 66(2) of Directive 2013/36(EU) Total number of administrative penalties person responsible and the nature of the breach [Article 67(2)(b)] public statements identifying the natural/legal person responsible to cease the conduct and to desist from a regulation of that conduct [Article 67(2)(b)] statistical and the conduct and the desist from a regulation of that conduct [Article 67(2)(b)]	

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

(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 misleadino.