

<b>Part 5</b>
<b>Data on supervisory measures and administrative penalties <sup>(1)</sup> (year 2021)</b>

		Supervisory measures	data
		<b>Credit institutions</b>	
010	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:	20,00
011		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	20,00
012		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0,00
013		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0,00
014		to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0,00
015		to restrict/limit business or activities [Article 104(1)(e)]	0,00
016		to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0,00
017		to limit variable remuneration [Article 104(1)(g)]	0,00
018		to strengthen own funds by using net profits [Article 104(1)(h)]	0,00
019		to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0,00
020		to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0,00
021		to impose specific liquidity requirements [Article 104(1)(k)]	0,00
022		to impose additional disclosure requirements [Article 104(1)(l)]	0,00
023		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0,00
024	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:	0,00
025		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0,00
026		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0,00
027		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0,00
028		to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0,00
029		to restrict/limit business or activities [Article 104(1)(e)]	0,00
030		to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0,00
031		to limit variable remuneration [Article 104(1)(g)]	0,00
032		to strengthen own funds by using net profits [Article 104(1)(h)]	0,00
033		to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0,00
034		to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0,00
035		to impose specific liquidity requirements [Article 104(1)(k)]	0,00
036		to impose additional disclosure requirements [Article 104(1)(l)]	0,00
037		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0,00

		Supervisory measures	data
		<b>Investment firms</b>	
037	Supervisory	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	
038		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	
039		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	
040		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	
041		to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	

## Annex IV

<b>Part 5</b>			
<b>Data on supervisory measures and administrative penalties <sup>(1)</sup> (year 2021)</b>			
042	measures	to restrict/limit business or activities [Article 104(1)(e)]	N/A
043	taken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	N/A
044	accordance	to limit variable remuneration [Article 104(1)(g)]	N/A
045	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	N/A
046	102(1)(a)	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	N/A
047		to impose additional or more frequent reporting requirements [Article 104(1)(j)]	N/A
048		to impose specific liquidity requirements [Article 104(1)(k)]	N/A
049		to impose additional disclosure requirements [Article 104(1)(l)]	N/A
050		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	N/A
051	Supervisory	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	N/A
052	measures	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	N/A
053	taken in	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	N/A
054	accordance	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	N/A
055	with Article	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	N/A
056	102(1)(b)	to restrict/limit business or activities [Article 104(1)(e)]	N/A
057	and other	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	N/A
058	provisions of	to limit variable remuneration [Article 104(1)(g)]	N/A
059	Directive	to strengthen own funds by using net profits [Article 104(1)(h)]	N/A
060	2013/36/EU	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	N/A
061	or	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	N/A
062	Regulation	to impose specific liquidity requirements [Article 104(1)(k)]	N/A
063	(EU) No	to impose additional disclosure requirements [Article 104(1)(l)]	N/A
064	575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	N/A
<b>Administrative penalties <sup>(2)</sup></b>			<b>data</b>
<b>Credit institutions</b>			
065	Administrati	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	
066	ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article	
067	(for breaches	66(2)(a)]	
068	of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	
069	authorisation/	repetition of that conduct [Article 66(2)(b)]	
070	acquisitions of	administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	
071	qualifying		
072	holding	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive	0,00
073	requirements)	2013/36/EU)	
074	Administrati	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	0,00
075	ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article	0,00
076	(for other	67(2)(a)]	
077	breaches of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0,00
078	requirements	repetition of that conduct [Article 67(2)(b)]	
079	imposed by	withdrawals of authorisation of credit institution [Article 67(2)(c)]	0,00
080	Directive	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)]	0,00
081	2013/36/EU		
082	or Regulation	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	0,00
083	(EU)		
084	No		

## Annex IV

<b>Part 5</b>			
<b>Data on supervisory measures and administrative penalties <sup>(1)</sup> (year 2021)</b>			
077	IN 575/2013)	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	0,00
<b>Investment firms</b>			
078	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:	N/A
079		public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	N/A
080		orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	N/A
081		administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	N/A
082		suspensions of the voting rights of shareholders [Article 66 (2)(f)]	N/A
083		Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	N/A
084		Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	N/A
085		public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	N/A
086		orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)]	N/A
087		withdrawals of authorisation of investment firms [Article 67(2)(c)]	N/A
088	temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)]	N/A	
089	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	N/A	
090		Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	N/A

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, whether taken with respect to a single institution or to a group of institutions.

(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.