

Annex IV

Part 5
Data on supervisory measures and administrative penalties ⁽¹⁾ (year 2020)

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

		Supervisory measures	data
		Investment firms	
037	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
038		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0
039		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0
040		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
041		to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0
042		to restrict/limit business or activities [Article 104(1)(e)]	0
043		to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0
044		to limit variable remuneration [Article 104(1)(g)]	0
045		to strengthen own funds by using net profits [Article 104(1)(h)]	0
046		to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0
047		to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0
048		to impose specific liquidity requirements [Article 104(1)(k)]	0
049		to impose additional disclosure requirements [Article 104(1)(l)]	0
050		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0
051	Supervisory measures taken in accordance with Article 102(1)(b) and other provisions of Directive 2013/36/EU or	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0
052		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0
053		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0
054		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
055		to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0
056		to restrict/limit business or activities [Article 104(1)(e)]	0
057		to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0
058		to limit variable remuneration [Article 104(1)(g)]	0
059		to strengthen own funds by using net profits [Article 104(1)(h)]	0
060		to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0
061		to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0

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Part 5				
Data on supervisory measures and administrative penalties ⁽¹⁾ (year 2020)				
062	Regulation	to impose specific liquidity requirements [Article 104(1)(k)]	0	
063	(EU) No	to impose additional disclosure requirements [Article 104(1)(l)]	0	
064	575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0	
Administrative penalties ⁽²⁾			data	
Credit institutions				
065	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	
066		public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	0	
067		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	
068		administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	0	
069		suspensions of the voting rights of shareholders [Article 66 (2)(f)]	0	
070		Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0	
071		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:	0
072	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]		0	
073	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	
074	withdrawals of authorisation of credit institution [Article 67(2)(c)]		0	
075	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)]		0	
076	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]		0	
077	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)		0	
Investment firms				
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:	0	
079		public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	0	
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)]	0	
081		administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	0	
082		suspensions of the voting rights of shareholders [Article 66 (2)(f)]	0	
083		Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0	
084		Administrative penalties (for other breaches of requirements imposed by Directive 2013/36/EU or Regulation (EU) No 575/2013)	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	0
085			public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	0
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)]	0
087			withdrawals of authorisation of investment firms [Article 67(2)(c)]	0
088	temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)]		0	
089	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]		0	
090		Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	0	

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.