Part 5

Data on supervisory measures and administrative penalties (year 2016)

	Supervisory measures*	data
Credit institu	tions	
	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0
	to hold own funds in excess of the minimum 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)]	
upervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
neasures	to restrict/limit business or activities [Article 104(1)(e)]	
aken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
ccordance	to limit variable remuneration [Article 104(1)(g)]	
vith Article	to strengthen own funds by using net profits [Article 104(1)(h)]	
02(1)(a)	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 impose additional disclosure requirements [Article 104(1)(I)]	
	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0
	2013/36/EU)	0
	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0
upervisory	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	
neasures	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	
aken in	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	
ccordance	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
vith Article	to restrict/limit business or activities [Article 104(1)(e)]	
02(1)(b) and	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
ther	to limit variable remuneration [Article 104(1)(g)]	
rovisions of	to strengthen own funds by using net profits [Article 104(1)(h)]	
irective	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	
013/36/EU or	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	
egulation (EU)	to impose specific liquidity requirements [Article 104(1)(k)]	
o 575/2013	to impose additional disclosure requirements [Article 104(1)(I)]	
	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0
	2013/36/EU)	0

* 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

	Supervisory measures*	data
Investment f	irms	
	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0
	to hold own funds in excess of the minimum 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	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
measures	to restrict/limit business or activities [Article 104(1)(e)]	
taken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
accordance	to limit variable remuneration [Article 104(1)(g)]	
with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	
102(1)(a)	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 impose additional disclosure requirements [Article 104(1)(I)]	
	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0
	2013/36/EU)	0
	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0
Supervisory	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	
measures	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	
taken in	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	
accordance	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	
with Article	to restrict/limit business or activities [Article 104(1)(e)]	
102(1)(b) and	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	
other	to limit variable remuneration [Article 104(1)(g)]	
provisions of	to strengthen own funds by using net profits [Article 104(1)(h)]	
Directive	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	
2013/36/EU or	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	
Regulation (EU)	to impose specific liquidity requirements [Article 104(1)(k)]	
No 575/2013	to impose additional disclosure requirements [Article 104(1)(I)]	
	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0
* D	2013/36/EU)	Ŭ

* 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

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	Administrative penalties	data
Credit institutio	ns	
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
	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	
	repetition of that conduct [Article 66(2)(b)]	
	administrative pecuniary penalties imposed on legal/natural 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)	0
	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	0
dministrative	public statements identifying the natural/legal person responsible and the nature of the breach [Article	
enalties	67(2)(a)]	
for other	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	
breaches of requirements imposed by Directive 2013/36/EU or Regulation (EU)	repetition of that conduct [Article 67(2)(b)]	
	withdrawals of authorisation of credit institution [Article 67(2)(c)]	
	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)]	
	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	
l° 575/2013)	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive	0
nvestment firn	2013/36/EU)	
ivestillent inn		0
Administrative	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	U
enalties	66(2)(a)]	
or breaches of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	
uthorisation/	repetition of that conduct [Article 66(2)(b)]	
acquisitions of qualifying	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)]	
olding	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive	
requirements)	2013/36/EU)	
	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	8
dministrative	public statements identifying the natural/legal person responsible and the nature of the breach [Article	
enalties	67(2)(a)]	
or other	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	
reaches of	repetition of that conduct [Article 67(2)(b)]	
requirements imposed by Directive 2013/36/EU or Regulation (EU) N° 575/2013)	withdrawals of authorisation of investment firms [Article 67(2)(c)]	
	temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)]	
	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	
	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	8
Due to differe	Incesting attending a second	

* 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

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