

Annex IV



Part 5
Data on supervisory measures and administrative penalties ⁽¹⁾ (year 2021)

		Supervisory measures	data
Credit institutions			
010		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0.00
011		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0.00
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	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
015	measures	to restrict/limit business or activities [Article 104(1)(e)]	0.00
016	taken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0.00
017	accordance	to limit variable remuneration [Article 104(1)(g)]	0.00
018	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	0.00
019	102(1)(a)	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		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0.00
025	Supervisory	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0.00
026	measures	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0.00
027	taken in	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0.00
028	accordance	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
029	with Article	to restrict/limit business or activities [Article 104(1)(e)]	0.00
030	102(1)(b) and	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0.00
031	other	to limit variable remuneration [Article 104(1)(g)]	0.00
032	provisions of	to strengthen own funds by using net profits [Article 104(1)(h)]	0.00
033	Directive	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0.00
034	2013/36/EU	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0.00
035	or Regulation	to impose specific liquidity requirements [Article 104(1)(k)]	0.00
036	(EU) No	to impose additional disclosure requirements [Article 104(1)(l)]	0.00
037	575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	27.00

		Supervisory measures	data
Investment firms			
037		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	N/a
038		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	N/a
039		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	N/a
040		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	N/a
041	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	N/a
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 2013/36/EU)	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) and	to restrict/limit business or activities [Article 104(1)(e)]	N/a
057	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 Regulation	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	N/a
062	(EU) No	to impose specific liquidity requirements [Article 104(1)(k)]	N/a
063	575/2013	to impose additional disclosure requirements [Article 104(1)(l)]	N/a
064		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	N/a

		Administrative penalties ⁽²⁾	data
Credit institutions			
065	Administrative	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	0.00
066	penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	0.00
067	(for breaches of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	0.00
068	authorisation/	administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	0.00
069	acquisitions of	suspensions of the voting rights of shareholders [Article 66(2)(f)]	0.00
070	qualifying	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0.00
071	holding	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	5.00
072	requirements)	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	0.00
073	Administrative	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)]	0.00
074	penalties	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 67(2)(b)]	0.00
075	(for other	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(c)]	1.00
076	breaches of	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	2.00
077	requirements	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	2 Reprimands
078	imposed by	Administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	N/a
079	Directive	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	N/a
080	2013/36/EU or	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	Regulation (EU)	administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	N/a
082	N° 575/2013)	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	Administrative	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	N/a
085	penalties	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	N/a
086	(for other	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
087	breaches of	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
088	requirements	temporary bans against natural person from exercising functions in investment firms [Article 66(2)(c)]	N/a
089	imposed by	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 66(2)]	N/a
090	Directive	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	N/a
091	2013/36/EU or		
092	Regulation (EU)		
093	N° 575/2013)		
094			

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.

(2) The administrative penalties imposed by competent authorities. Competent authorities shall report all administrative penalties against which there is no appeal available in their jurisdiction by the reference date of the disclosure. Competent authorities of Member States where it is permitted to publish administrative penalties subject to an appeal, shall also report those administrative penalties unless the appeal annulling the administrative penalty is issued.