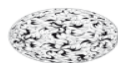


Annex IV



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Part 5

Data on supervisory measures and administrative penalties (year 2015)

Supervisory measures*		data
Credit institutions		
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
	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0
	to restrict/limit business or activities [Article 104(1)(e)]	0
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0
	to limit variable remuneration [Article 104(1)(g)]	0
	to strengthen own funds by using net profits [Article 104(1)(h)]	0
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0
	to impose specific liquidity requirements [Article 104(1)(k)]	0
	to impose additional disclosure requirements [Article 104(1)(l)]	0
Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0	
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:	5
	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	4
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0
	to restrict/limit business or activities [Article 104(1)(e)]	0
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0
	to limit variable remuneration [Article 104(1)(g)]	0
	to strengthen own funds by using net profits [Article 104(1)(h)]	0
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	1
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0
	to impose specific liquidity requirements [Article 104(1)(k)]	0
	to impose additional disclosure requirements [Article 104(1)(l)]	0
Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	8	

* 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 firms		
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
	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0
	to restrict/limit business or activities [Article 104(1)(e)]	0
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0
	to limit variable remuneration [Article 104(1)(g)]	0
	to strengthen own funds by using net profits [Article 104(1)(h)]	0
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0
	to impose specific liquidity requirements [Article 104(1)(k)]	0
	to impose additional disclosure requirements [Article 104(1)(l)]	0
Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0	
Supervisory measures taken in accordance	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	31
	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	2
	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	8
	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0
	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0

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with Article 102(1)(b) and other provisions of Directive 2013/36/EU or Regulation (EU) No 575/2013	to restrict/limit business or activities [Article 104(1)(e)]	0
	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	21
	to limit variable remuneration [Article 104(1)(g)]	0
	to strengthen own funds by using net profits [Article 104(1)(h)]	0
	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0
	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0
	to impose specific liquidity requirements [Article 104(1)(k)]	0
	to impose additional disclosure requirements [Article 104(1)(l)]	0
Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive		16

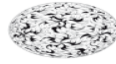
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Administrative penalties		data
Credit institutions		
Administrative penalties (for breaches of authorisation/acquisitions of qualifying holding requirements)	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	0
	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	0
	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
	administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)]	0
	suspensions of the voting rights of shareholders [Article 66 (2)(f)]	0
	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0
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
	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	0
	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
	withdrawals of authorisation of credit institution [Article 67(2)(c)]	0
	temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)]	0
	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	0
Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	0	
Investment firms		
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:	3
	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)]	1
	orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct [Article 66(2)(b)]	1
	administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	1
	suspensions of the voting rights of shareholders [Article 66 (2)(f)]	0
	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0
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 66(2) of Directive 2013/36/EU applied:	0
	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	0
	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
	withdrawals of authorisation of investment firms [Article 67(2)(c)]	0
	temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)]	0
	administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)]	0

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N 5/5/2015)	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	1
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