

Annex IV

Part 5		
Data on supervisory measures and administrative penalties <sup>(1)</sup> (year XXXX)		
Supervisory measures		data
<b>Credit institutions</b>		
010	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	(value)
011	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	(value)
012	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	(value)
013	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	(value)
014	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	(value)
015	to restrict/limit business or activities [Article 104(1)(e)]	(value)
016	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	(value)
017	to limit variable remuneration [Article 104(1)(g)]	(value)
018	to strengthen own funds by using net profits [Article 104(1)(h)]	(value)
019	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	(value)
020	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	(value)
021	to impose specific liquidity requirements [Article 104(1)(k)]	(value)
022	to impose additional disclosure requirements [Article 104(1)(l)]	(value)
023	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	(value)
024	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	(value)
025	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	(value)
026	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	(value)
027	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	(value)
028	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	(value)
029	to restrict/limit business or activities [Article 104(1)(e)]	(value)
030	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	(value)
031	to limit variable remuneration [Article 104(1)(g)]	(value)
032	to strengthen own funds by using net profits [Article 104(1)(h)]	(value)
033	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	(value)
034	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	(value)
035	to impose specific liquidity requirements [Article 104(1)(k)]	(value)
036	to impose additional disclosure requirements [Article 104(1)(l)]	(value)
037	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	(value)
<b>Investment firms</b>		
037	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	(value)
038	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	(value)
039	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	(value)
040	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	(value)
041	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	(value)
042	to restrict/limit business or activities [Article 104(1)(e)]	(value)
043	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	(value)
044	to limit variable remuneration [Article 104(1)(g)]	(value)
045	to strengthen own funds by using net profits [Article 104(1)(h)]	(value)
046	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	(value)
047	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	(value)
048	to impose specific liquidity requirements [Article 104(1)(k)]	(value)
049	to impose additional disclosure requirements [Article 104(1)(l)]	(value)
050	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	(value)
051	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	(value)
052	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	(value)
053	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	(value)
054	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	(value)
055	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	(value)
056	to restrict/limit business or activities [Article 104(1)(e)]	(value)
057	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	(value)
058	to limit variable remuneration [Article 104(1)(g)]	(value)
059	to strengthen own funds by using net profits [Article 104(1)(h)]	(value)
060	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	(value)
061	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	(value)
062	to impose specific liquidity requirements [Article 104(1)(k)]	(value)
063	to impose additional disclosure requirements [Article 104(1)(l)]	(value)
064	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	(value)
<b>Administrative penalties <sup>(2)</sup></b>		
<b>Credit institutions</b>		
065	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	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	1
072	public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)]	1
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)]	1
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
<b>Investment firms</b>		
078	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	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	1
085	public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(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 66(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)]	1
090	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU)	NA

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.