

Annex IV

| Aggregate Statistical Data | |
|----------------------------|---|
| Year | 2020 |
| List of templates | |
| Part 1 | Consolidated data per Competent Authority |
| Part 2 | Data on credit risk |
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General remarks on filling in templates in Annex IV

- 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.
- Numerical cells shall include only numbers. There shall be no references to national currencies. The currency used is euros and non-euro area Member States shall convert their national currencies into euros using the ECB exchange rates (at the common reference date, i.e. the last day of the year under review), with one decimal place when disclosing amounts in millions.
- Unit of disclosure shall be in millions of euro for the reported monetary amounts (hereafter – MEUR).
- Percentages shall be disclosed with two decimals.
- If data is not being disclosed, the reason for non-disclosure shall be provided using the EBA nomenclature, i.e. N/A (for not available) or C (for confidential).
- The data shall be disclosed on an aggregated basis without identifying individual either credit institutions or investment firms.
- The references to COREP templates pursuant to the Commission implementing regulation (EU) No 680/2014 are provided in Parts 1 to 4, where available.
- Competent authorities shall collect data relating to XXXX year onwards on consolidated basis. This will ensure the consistency of the information collected.
- The templates of this Annex shall be read in conjunction with the reporting scope of consolidation hereby defined. To ensure efficient data collection, the information for credit institutions and investment firms shall be reported separately, but the same level of consolidation shall be applied in both cases.
- In order to ensure the coherence and comparability of reported data, the ECB shall publish only aggregate statistical data for supervised entities for which it conducts and exercises direct supervision at the reference date of the disclosure, while national competent authorities shall publish aggregate statistical data only for credit institutions not directly supervised by the ECB.
- Data shall be compiled only for investment firms subject to CRD. Investment firms which are not subject to CRD regime are excluded from the data collection exercise.

| |
|---|
| Part 1 Consolidated data per Competent Authority (year 2020) |
|---|

| | | Reference to COREP template | Data |
|-----|--|--|-----------|
| | Number and size of credit institutions | | |
| 010 | Number of credit institutions | | 135 |
| 020 | Total assets of the jurisdiction (in MEUR) ⁽¹⁾ | | 3378728,0 |
| 030 | Total assets of the jurisdiction ⁽¹⁾ as % of GDP ⁽²⁾ | | 204,33% |
| | Number and size of foreign credit institutions ⁽³⁾ | | |
| 040 | Number of branches ⁽⁴⁾ | | 6 |
| 050 | From third countries | Total assets of branches (in MEUR) | 24495,8 |
| 060 | | Number of subsidiaries ⁽⁵⁾ | 2 |
| 070 | | Total assets of subsidiaries (in MEUR) | 4737,8 |
| | Total capital and capital requirements of credit institutions | | |
| 080 | Total Common Equity Tier 1 capital as % of total capital ⁽⁶⁾ | CA1 (row 020 / row 010) | 91,85% |
| 090 | Total Additional Tier 1 capital as % of total capital ⁽⁷⁾ | CA1 (row 530 / row 010) | 3,25% |
| 100 | Total Tier 2 capital as % of total capital ⁽⁸⁾ | CA1 (row 750 / row 010) | 4,90% |
| 110 | Total capital requirements (in MEUR) ⁽⁹⁾ | CA2 (row 010) * 8% | 11195,2 |
| 120 | Total capital ratio (%) ⁽¹⁰⁾ | CA3 (row 050) | 25,11% |
| | Number and size of investment firms | | |
| 130 | Number of investment firms | | 48 |
| 140 | Total assets (in MEUR) ⁽¹⁾ | | 719,6 |
| 150 | Total assets as % of GDP | | 0,04% |
| | Total capital and capital requirements of investment firms | | |
| 160 | Total Common Equity Tier 1 capital as % of total capital ⁽⁶⁾ | CA1 (row 020 / row 010) | 98,18% |
| 170 | Total Additional Tier 1 capital as % of total capital ⁽⁷⁾ | CA1 (row 530 / row 010) | 0,00% |
| 180 | Total Tier 2 capital as % of total capital ⁽⁸⁾ | CA1 (row 750 / row 010) | 1,82% |
| 190 | Total capital requirements (in MEUR) ⁽⁹⁾ | CA2 (row 010) *8% | 67,6 |
| 200 | Total capital ratio (%) ⁽¹⁰⁾ | CA3 (row 050) | 46,90% |

(1) The total assets figure shall be the total assets value of the country for the national competent authorities, only for rows 020 and 030, and for the ECB the total assets value of Significant Institutions for the whole SSM.

(2) GDP at market price; suggested source – Eurostat/ECB.

(3) EEA countries shall not be included.

(5) Number of branches as defined in point (1) of Article 4(1) of CRR. Any number of places of business set up in the same country by a credit institution with headquarters in a third country should be counted as a single branch.

(6) Number of subsidiaries as defined in point (16) of Article 4(1) of CRR. Any subsidiary of a subsidiary undertaking shall be regarded as a subsidiary of the parent undertaking, which is at the head of those undertakings.

(7) Ratio of Common Equity Tier 1 capital as defined in Article 50 of CRR to the own funds as defined in point (118) of Article 4(1) and Article 72 of CRR, expressed in percentage (%).

(8) Ratio of Additional Tier 1 Capital as defined in Article 61 of CRR to the own funds as defined in point (118) of Article 4(1) and Article 72 of CRR, expressed in percentage (%).

(9) Ratio of Tier 2 Capital as defined in Article 71 of CRR to the own funds as defined in point (118) of Article 4(1) and Article 72 of CRR, expressed in percentage (%).

(10) The 8% of total risk exposure amount as defined in Articles 92(3), 95, 96 and 98 of CRR.

(11) The ratio of the own funds to the total risk exposure amount as defined in point (c) of Article 92(2) of CRR, expressed in percentage (%).

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| Part 2 | | | | | |
|---------------------------------|---|--|---|---|------------------------------------|
| Data on credit risk (year 2020) | | | | | |
| | Credit risk data | | Reference to COREP template | data | |
| | Credit institutions: Own funds requirements for credit risk | | | | |
| 010 | Credit institutions: own funds requirements for credit risk | % of total own funds requirements ⁽¹⁾ | CA2 (row 040) / (row 010) | 86,05% | |
| 020 | Credit institutions: breakdown by approach | Standardised Approach (SA) | | 100,00% | |
| 030 | | % based on the total number of credit institutions ⁽²⁾ | IRB approach when neither own estimates of Loss Given Default nor conversion factors are used | 0,00% | |
| 040 | | % based on total own funds requirements for credit risk | IRB approach when own estimates of Loss Given Default and/or conversion factors are used | 0,78% | |
| 050 | | | SA | CA2 (row 050) / (row 040) | 95,26% |
| 060 | Credit institutions: breakdown by IRB exposure class | % based on total IRB risk weighted exposure amount | IRB approach when neither own estimates of Loss Given Default nor conversion factors are used | CR IRB, Foundation IRB (row 010, col 260) / CA2 (row 040) | |
| 070 | | | IRB approach when own estimates of Loss Given Default and/or conversion factors are used | CR IRB, Advanced IRB (row 010, col 260) / CA2 (row 040) | 3,48% |
| 080 | | | IRB approach when neither own estimates of Loss Given Default nor conversion factors are used | CA2 (row 250 / row 240) | |
| 090 | | | Central governments and central banks | CA2 (row 260 / row 240) | |
| 100 | | | Institutions | CA2 (row 270 / row 240) | |
| 110 | | | Corporates - SME | CA2 (row 280 / row 240) | |
| 120 | | | Corporates - Specialised Lending | CA2 (row 290 / row 240) | |
| 130 | | | Corporates - Other | CA2 (row 300 / row 240) | |
| 140 | | | IRB approach when own estimates of Loss Given Default and/or conversion factors are used | CA2 (row 310 / row 240) | 100,00% |
| 150 | | | Central governments and central banks | CA2 (row 320 / row 240) | |
| 160 | | | Institutions | CA2 (row 330 / row 240) | |
| 170 | | | Corporates - SME | CA2 (row 340 / row 240) | 27,02% |
| 180 | | | Corporates - Specialised Lending | CA2 (row 350 / row 240) | 3,30% |
| 190 | | | Corporates - Other | CA2 (row 360 / row 240) | 39,53% |
| 200 | | | Retail - Secured by real estate SME | CA2 (row 370 / row 240) | 7,81% |
| 210 | | | Retail - Secured by real estate non-SME | CA2 (row 380 / row 240) | 12,75% |
| 220 | | | Retail - Qualifying revolving | CA2 (row 390 / row 240) | |
| 230 | | | Retail - Other SME | CA2 (row 400 / row 240) | 6,63% |
| 240 | | | Retail - Other non-SME | CA2 (row 410 / row 240) | 2,95% |
| 250 | | | Equity IRB | CA2 (row 420 / row 240) | |
| 260 | | | Securitisation positions IRB | CA2 (row 430 / row 240) | |
| 270 | | | Other non credit-obligation assets | CA2 (row 450 / row 240) | |
| | Credit risk data | | Reference to COREP template | data | |
| | Credit institutions: Own funds requirements for credit risk | | | | |
| 280 | Credit institutions: breakdown by SA exposure class* | % based on total SA risk weighted exposure amount | Central governments or central banks | CA2 (row 070 / row 050) | 3,73% |
| 290 | | | Regional governments or local authorities | CA2 (row 080 / row 050) | 1,84% |
| 300 | | | Public sector entities | CA2 (row 090 / row 050) | 1,21% |
| 310 | | | Multilateral Development Banks | CA2 (row 100 / row 050) | 0,00% |
| 320 | | | International Organisations | CA2 (row 110 / row 050) | 0,00% |
| 330 | | | Institutions | CA2 (row 120 / row 050) | 6,05% |
| 340 | | | Corporates | CA2 (row 130 / row 050) | 30,57% |
| 350 | | | Retail | CA2 (row 140 / row 050) | 19,00% |
| 360 | | | Secured by mortgages on immovable property | CA2 (row 150 / row 050) | 13,59% |
| 370 | | | Exposures in default | CA2 (row 160 / row 050) | 8,09% |
| 380 | | | Items associated with particular high risk | CA2 (row 170 / row 050) | 2,73% |
| 390 | | | Covered bonds | CA2 (row 180 / row 050) | 0,08% |
| 400 | | | Claims on institutions and corporates with a short-term credit assessment | CA2 (row 190 / row 050) | 0,02% |
| 410 | | | Collective investment undertakings | CA2 (row 200 / row 050) | 2,01% |
| 420 | | | Equity | CA2 (row 210 / row 050) | 3,95% |
| 430 | | | Other items | CA2 (row 211 / row 050) | 7,14% |
| 440 | | | Securitisation positions SA | CA2 (row 220 / row 050) | |
| 450 | | | Credit institutions: breakdown by credit risk mitigation (CRM) approach | % based on the total number of credit institutions ⁽³⁾ | Financial collateral simple method |
| 460 | | Financial collateral comprehensive method | | 44,58% | |
| 470 | | | | | |
| | Investment firms: Own funds requirements for credit risk | | | | |
| 480 | Investment firms: own funds requirements for credit risk | % of total own funds requirements ⁽⁴⁾ | CA2 (row 040) / (row 010) | 43,21% | |
| 490 | Investment firms: breakdown by approach | % based on the total number of investment firms ⁽⁵⁾ | SA | 100,00% | |
| 500 | | % based on total own funds requirements for credit risk ⁽⁶⁾ | IRB | 6,25% | |
| 510 | | | SA | (CA2 (row 050) / (row 040) | 100,00% |
| 520 | | | IRB | (CA2 (row 240) / row 040) | 0,00% |

| | Additional information on securitisation (in MEUR) | Reference to COREP template | data |
|-----|--|--|------|
| | Credit institutions: originator | | |
| 530 | Total amount of securitisation exposures originated on balance sheet and off-balance sheet | CR SEC SA (row 030, col 010) + CR SEC IRB (row 030, col 010) | |
| 540 | Total amount of securitisation positions retained (securitisation positions - original exposure pre conversion factors) on balance sheet and off-balance sheet | CR SEC SA (row 030, col 050) + CR SEC IRB (row 030, col 050) | |

| | Exposures and losses from lending collateralised by immovable property (MEUR) ⁽⁶⁾ | Reference to COREP template | data |
|-----|--|--|---------------------------------|
| 550 | Use of residential property as collateral | Sum of exposures secured by residential property ⁽⁷⁾ | CR IP Losses (row 010, col 050) |
| 560 | | Sum of losses stemming from lending up to the reference percentages ⁽⁸⁾ | CR IP Losses (row 010, col 010) |
| 570 | | Of which: immovable property valued with mortgage lending value ⁽⁹⁾ | CR IP Losses (row 010, col 020) |
| 580 | | Sum of overall losses ⁽¹⁰⁾ | CR IP Losses (row 010, col 030) |
| 590 | Use of commercial immovable property as collateral | Of which: immovable property valued with mortgage lending value ⁽⁹⁾ | CR IP Losses (row 010, col 040) |
| 600 | | Sum of exposures secured by immovable commercial property ⁽⁷⁾ | CR IP Losses (row 020, col 050) |
| 610 | | Sum of losses stemming from lending up to the reference percentages ⁽⁸⁾ | CR IP Losses (row 020, col 010) |
| 620 | | Of which: immovable property valued with mortgage lending value ⁽⁹⁾ | CR IP Losses (row 020, col 020) |
| 630 | | Sum of overall losses ⁽¹⁰⁾ | CR IP Losses (row 020, col 030) |
| 640 | | Of which: immovable property valued with mortgage lending value ⁽⁹⁾ | CR IP Losses (row 020, col 040) |

(1) Ratio of the own fund requirements for credit risk as defined in points (a) and (f) of Article 92(3) of CRR to the total own funds as defined in Articles 92(3), 95, 96 and 98 of CRR.

(2) If an institution uses more than one approach, it shall be counted in each of these approaches. Hence, the sum of the percentages reported for the three approaches may be higher than 100%.

(3) In the exceptional cases, where an institution uses more than one approach, it shall be counted in each of these approaches. Hence, the sum of the percentages reported may be higher than 100%.

(4) Ratio of the own fund requirements for credit risk as defined in points (a) and (f) of Article 92(3) of CRR to the total own funds as defined in Articles 92(3), 95, 96 and 98 of CRR.

(5) The percentage of the own fund requirements of investment firms that apply the SA and IRB approach respectively in relation to the total own fund requirements for credit risk as defined in points (a) and (f) of Article 92(3) of CRR.

(6) The amount of the estimated losses shall be reported at the reporting reference date.

(7) As defined in points (c) and (f) of Article 101(1) of CRR, respectively; the market value and mortgage lending value according to points (74) and (76) of Article 4 (1); only for the part of exposure treated as fully and completely secured according to Article 124 (1) of CRR;

(8) As defined in points (a) and (d) of Article 101(1) of CRR, respectively; the market value and mortgage lending value according to points (74) and (76) of Article 4 (1).

(9) When the value of the collateral has been calculated as mortgage lending value.

(10) As defined in points (b) and (e) of Article 101(1) of CRR, respectively; the market value and mortgage lending value according to points (74) and (76) of Article 4 (1).

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| Part 3 | | | | |
|-------------------------------------|---|---|-----------------------------|---------|
| Data on market risk (1) (year 2020) | | | | |
| | Market risk data | | Reference to COREP template | data |
| | Credit institutions: Own funds requirements for market risk | | | |
| 010 | Credit institutions: own funds requirements for market risk | % of total own funds requirements ⁽²⁾ | CA2 (row 520) / (row 010) | 1,25% |
| 020 | Credit institutions: breakdown by approach | % based on the total number of credit institutions ⁽³⁾ | Standardised approach | 100,00% |
| 030 | | | Internal models | 0,00% |
| 040 | | % based on total own funds requirements for market risk | Standardised approach | 100,00% |
| 050 | | | Internal models | |
| | Investment firms: Own funds requirements for market risk | | | |
| 060 | Investment firms: own funds requirements for market risk | % of total own funds requirements ⁽²⁾ | CA2 (row 520) / (row 010) | 15,71% |
| 070 | Investment firms: breakdown by approach | % based on the total number of investment firms ⁽³⁾ | Standardised approach | 100,00% |
| 080 | | | Internal models | 0,00% |
| 090 | | % based on total own funds requirements for market risk | Standardised approach | 100,00% |
| 100 | | | Internal models | 0,00% |

(1) The template shall include information on all institutions and not only on those with market risk positions.

(2) Ratio of the total risk exposure amount for position, foreign exchange and commodities risks as defined in point (i) of point (b), points (i) and (iii) of point (c) of Articles 92(3) of CRR and point (b) of Article 92(4) of CRR to the total risk exposure amount as defined in Articles 92(3), 95, 96 and 98 of CRR (in %).

(3) If an institution uses more than one approach, it shall be counted in each of these approaches. Hence, the sum of the percentages reported may be higher than 100%, but also lower than 100% as entities with small trading portfolio are not obliged to determine market risk.

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| Part 4 | | | | | |
|--------------------------------------|--|---|---|---|--------|
| Data on operational risk (year 2020) | | | | | |
| | Operational risk data | | Reference to COREP template | data | |
| | Credit institutions: Own funds requirements for operational risk | | | | |
| 010 | Credit institutions: own funds requirements for operational risk | % of total own funds requirements ⁽¹⁾ | | CA2 (row 590) / (row 010) | 12,46% |
| 020 | Credit institutions: breakdown by approach | % based on the total number of credit institutions ⁽²⁾ | Basic Indicator Approach (BIA) | | 96,83% |
| 030 | | | Standardised Approach (TSA) / Alternative Standardised Approach (ASA) | | 3,97% |
| 040 | | | Advanced Measurement Approach (AMA) | | 0,00% |
| 050 | | % based on total own funds requirements for operational risk | BIA | CA2 (row 600) / (row 590) | 70,79% |
| 060 | | | TSA/ASA | CA2 (row 610) / (row 590) | 29,21% |
| 070 | | AMA | CA2 (row 620) / (row 590) | 0,00% | |
| | Credit institutions: Losses due to operational risk | | | | |
| 080 | Credit institutions: total gross loss | Total gross loss as % of total gross income ⁽³⁾ | | OPR Details (row 920, col 080) / OPR ((sum (row 010 to row 130), col 030) | 0,21% |
| | Investment firms: Own funds requirements for operational risk | | | | |
| 090 | Investment firms: own funds requirements for operational risk | % of total own funds requirements ⁽¹⁾ | | CA2 (row 590) / (row 010) | 21,37% |
| 100 | Investment firms: breakdown by approach | % based on the total number of investment firms ⁽²⁾ | BIA | | 90,00% |
| 110 | | | TSA/ASA | | 10,00% |
| 120 | | | AMA | | 0,00% |
| 130 | | % based on total own funds requirements for operational risk | BIA | CA2 (row 600) / (row 590) | 99,14% |
| 140 | | | TSA/ASA | CA2 (row 610) / (row 590) | 0,86% |
| 150 | | AMA | CA2 (row 620) / (row 590) | 0,00% | |
| | Investment firms: Losses due to operational risk | | | | |
| 160 | Investment firms: total gross loss | Total gross loss as % of total gross income ⁽³⁾ | | OPR Details (row 920, col 080) / OPR ((sum (row 010 to row 130), col 030) | |

(1) Ratio of the total risk exposure amount for operational risk as defined in Article 92(3) of CRR to the total risk exposure amount as defined in Articles 92(3), 95, 96 and 98 of CRR (in %).

(2) If an institution uses more than one approach, it shall be counted in each of these approaches. Hence, the sum of the percentages reported may be higher than 100%, but also lower than 100% as some investment firms are not obliged to count operational risk capital charges.

(3) Only with respect to entities, which use AMA or TSA/ASA approach; ratio of the total loss amount for all business lines to the sum of the relevant indicator for banking activities subject to TSA/ASA and AMA for the last year (in %).

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| Part 5 | | |
|---|---|-------|
| Data on supervisory measures and administrative penalties (1) (year 2020) | | |
| | Supervisory measures | data |
| Credit institutions | | |
| 010 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU | C |
| 011 | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | C |
| 012 | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | C |
| 013 | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | C |
| 014 | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | C |
| 015 | to restrict/limit business or activities [Article 104(1)(e)] | C |
| 016 | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | C |
| 017 | to limit variable remuneration [Article 104(1)(g)] | C |
| 018 | to strengthen own funds by using net profits [Article 104(1)(h)] | C |
| 019 | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | C |
| 020 | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | C |
| 021 | to impose specific liquidity requirements [Article 104(1)(k)] | C |
| 022 | to impose additional disclosure requirements [Article 104(1)(l)] | C |
| 023 | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | C |
| 024 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU | C |
| 025 | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | C |
| 026 | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | C |
| 027 | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | C |
| 028 | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | C |
| 029 | to restrict/limit business or activities [Article 104(1)(e)] | C |
| 030 | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | C |
| 031 | to limit variable remuneration [Article 104(1)(g)] | C |
| 032 | to strengthen own funds by using net profits [Article 104(1)(h)] | C |
| 033 | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | C |
| 034 | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | C |
| 035 | to impose specific liquidity requirements [Article 104(1)(k)] | C |
| 036 | to impose additional disclosure requirements [Article 104(1)(l)] | C |
| 037 | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | C |
| Investment firms | | |
| 037 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU | C |
| 038 | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | C |
| 039 | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | C |
| 040 | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | C |
| 041 | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | C |
| 042 | to restrict/limit business or activities [Article 104(1)(e)] | C |
| 043 | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | C |
| 044 | to limit variable remuneration [Article 104(1)(g)] | C |
| 045 | to strengthen own funds by using net profits [Article 104(1)(h)] | C |
| 046 | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | C |
| 047 | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | C |
| 048 | to impose specific liquidity requirements [Article 104(1)(k)] | C |
| 049 | to impose additional disclosure requirements [Article 104(1)(l)] | C |
| 050 | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | C |
| 051 | Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU | C |
| 052 | to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)] | C |
| 053 | to reinforce governance arrangements and internal capital management [Article 104(1)(b)] | C |
| 054 | to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)] | C |
| 055 | to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)] | C |
| 056 | to restrict/limit business or activities [Article 104(1)(e)] | C |
| 057 | to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)] | C |
| 058 | to limit variable remuneration [Article 104(1)(g)] | C |
| 059 | to strengthen own funds by using net profits [Article 104(1)(h)] | C |
| 060 | to restrict/prohibit distributions or interest payments [Article 104(1)(i)] | C |
| 061 | to impose additional or more frequent reporting requirements [Article 104(1)(j)] | C |
| 062 | to impose specific liquidity requirements [Article 104(1)(k)] | C |
| 063 | to impose additional disclosure requirements [Article 104(1)(l)] | C |
| 064 | Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU) | C |
| Administrative penalties (2) | | |
| Credit institutions | | |
| 065 | Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: | 0,00 |
| 066 | public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)] | 0,00 |
| 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)] | 0,00 |
| 068 | administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article 66(2)] | 0,00 |
| 069 | suspensions of the voting rights of shareholders [Article 66 (2)(f)] | 0,00 |
| 070 | Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) | 0,00 |
| 071 | Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied: | 14,00 |
| 072 | public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)] | 0,00 |
| 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)] | 1,00 |
| 074 | withdrawals of authorisation of credit institution [Article 67(2)(c)] | 0,00 |
| 075 | temporary bans against natural person from exercising functions in credit institutions [Article 67(2)(d)] | 0,00 |
| 076 | administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)] | 13,00 |
| 077 | Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU) | 0,00 |
| Investment firms | | |
| 078 | Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied: | 0,00 |
| 079 | public statements identifying the natural/legal person responsible and the nature of the breach [Article 66(2)(a)] | 0,00 |
| 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)] | 0,00 |
| 081 | administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] | 0,00 |
| 082 | suspensions of the voting rights of shareholders [Article 66 (2)(f)] | 0,00 |
| 083 | Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) | 0,00 |
| 084 | Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied: | 1,00 |
| 085 | public statements identifying the natural/legal person responsible and the nature of the breach [Article 67(2)(a)] | 0,00 |
| 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)] | 0,00 |
| 087 | withdrawals of authorisation of investment firms [Article 67(2)(c)] | 0,00 |
| 088 | temporary bans against natural person from exercising functions in investment firms [Article 67(2)(d)] | 0,00 |
| 089 | administrative pecuniary penalties imposed on legal/natural person [points (e) to (g) of Article 67(2)] | 1,00 |
| 090 | Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive 2013/36/EU) | 0,00 |

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 may 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.

Annex IV

Part 6

Data on waivers (1) (year 2020)

| Exemption from the application on an individual basis of prudential requirements set out in Parts Two to Five, Seven and Eight of Regulation (EU) No 575/2013 | | | |
|---|---|---|--|
| | Legal reference in Regulation (EU) N° 575/2013 | Article 7(1) and (2) (waivers for subsidiaries) ⁽²⁾ | Article 7(3) (waivers for parent institutions) |
| 010 | Total number of waivers granted | [Value] | [Value] |
| 011 | Number of waivers granted to parent institutions which have or hold participations in subsidiaries established in third countries | N/A | [Value] |
| 012 | Total amount of consolidated own funds held in the subsidiaries established in third countries (in MEUR) | N/A | [Value] |
| 013 | Percentage of the total consolidated own funds held in subsidiaries established in third countries (%) | N/A | [Value] |
| 014 | Percentage of the consolidated own funds requirements allocated to subsidiaries established in third countries (%) | N/A | [Value] |
| Permission granted to parent institutions to incorporate subsidiaries in the calculation of their prudential requirements set out in Parts Two to Five and Eight of Regulation (EU) N° 575/2013 | | | |
| | Legal reference in Regulation (EU) N° 575/2013 | Article 9(1) (Individual consolidation method) | |
| 015 | Total number of permissions granted | [Value] | |
| 016 | Number of permissions granted to parent institutions to incorporate subsidiaries established in third countries in the calculation of their requirement | [Value] | |
| 017 | Total amount of consolidated own funds held in the subsidiaries established in third countries (in MEUR) | [Value] | |
| 018 | Percentage of the total consolidated own funds held in subsidiaries established in third countries (%) | [Value] | |
| 019 | Percentage of the consolidated own funds requirements allocated to subsidiaries established in third countries (%) | [Value] | |
| Exemption from the application on an individual basis of liquidity requirements set out in Part Six of Regulation (EU) N° 575/2013 | | | |
| | Legal reference in Regulation (EU) N° 575/2013 | Article 8 (Liquidity waivers for subsidiaries) | |
| 020 | Total number of waivers granted | 32 | |
| 021 | Number of waivers granted pursuant to Article 8(2) where all institutions within a single liquidity sub-group are authorised in the same Member State | 32 | |
| 022 | Number of waivers granted pursuant to Article 8(1) where all institutions within a single liquidity sub-group are authorised in several Member States | | |
| 023 | Number of waivers granted pursuant to Article 8(3) to institutions which are members of the same Institutional Protection Scheme | | |
| Exemption from the application on an individual basis of prudential requirements set out in Parts Two to Eight of Regulation (EU) No 575/2013 | | | |
| | Legal reference in Regulation (EU) No 575/2013 | Article 10 (Credit institutions permanently affiliated to a central body) | |
| 024 | Total number of waivers granted | [Value] | |
| 025 | Number of waivers granted to credit institutions permanently affiliated to a central body | [Value] | |
| 026 | Number of waivers granted to central bodies | [Value] | |

(1) Competent authorities shall report Information on waiver practices based on the total number of waivers by the competent authority, which are still effective or in force. The information to be reported is limited to those entities granted a waiver. Where the information is not available, i.e. not part of the regular reporting, it shall be reported as "N/A".

(2) The number of institutions which have been granted the waiver shall be used as a basis for counting the waivers.