## EN

## Annex IV

Part 5
Central Bank of Ireland

Part 5

Data on supervisory measures and administrative penalties (1) (year 2018)

		Supervisory measures	data
	Credit ins	titutions	
10		Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	0.00
11		to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0.00
12		to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0.00
13		to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0.00
	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
	measures	to restrict/limit business or activities [Article 104(1)(e)]	0.00
16	taken in	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0.00
17	accordance	to limit variable remuneration [Article 104(1)(q)]	0.00
18	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	0.00
19	102(1)(a)	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0.00
20		to impose additional or more frequent reporting requirements [Article 104(1)(i)]	0.00
21		to impose specific liquidity requirements [Article 104(1)/k)]	0.00
22		to impose additional disclosure requirements [Article 104(1)(I)]	0.00
23		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	0.00
	Supervisory	Total number of supervisory measures taken in accordance with Article 104(1) of Directive 2013/36/EU:	14.00
	measures	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	6.00
	taken in	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	2.00
	accordance	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0.00
	with Article	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
	102(1)(b)	to restrict/limit business or activities [Article 104(1)(e)]	0.00
30	and other	to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0.00
	provisions	to limit variable remuneration [Article 104(1)(q)]	0.00
32	of Directive	to strengthen own funds by using net profits [Article 104(1)(h)]	0.00
33	2013/36/EU	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	1.00
34	or	to impose additional or more frequent reporting requirements [Article 104(1)(i)]	0.00
35	Regulation	to impose specific liquidity requirements [Article 104(1)(k)]	5.00
	(EU) No	to impose additional disclosure requirements [Article 104(1)(I)]	0.00
	575/2013	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive 2013/36/EU)	99.0

		Supervisory measures	dat
	Investme	nt firms	
037	2	Total number of supervisory measures taken in accordance with Article 104(1) of Directive	0.0
038	=	to hold own funds in excess of the minimum capital requirements [Article 104(1)(a)]	0.0
039	=	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0.00
040	=	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0.00
041	Supervisory	to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
	measures		0.00
042	taken in	to restrict/limit business or activities [Article 104(1)(e)]	
043		to reduce the risk inherent in the activities. products and systems [Article 104(1)(f)]	0.0
	accordance	to limit variable remuneration [Article 104(1)(g)]	0.0
045	with Article	to strengthen own funds by using net profits [Article 104(1)(h)]	0.0
046	102(1)(a)	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0.0
047		to impose additional or more frequent reporting requirements [Article 104(1)(i)]	0.00
048		to impose specific liquidity requirements [Article 104(1)(k)]	0.00
049		to impose additional disclosure requirements [Article 104(1)(1)]	0.00
050		Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	0.00
051	Super visor y	Total number of supervisory measures taken in accordance with Article 104(1) of Directive	0.0
052	measures	to hold own funds in excess of the minimum capital requirements (Article 104(1)(a))	0.0
053	taken in	to reinforce governance arrangements and internal capital management [Article 104(1)(b)]	0.0
054	accordance	to present a plan to restore compliance with supervisory requirements [Article 104(1)(c)]	0.0
055	with Article	to desert a diam to restore combinance with subervisory reduirements (Article 104(1)(d))  to apply a specific provisioning policy or treatment of assets [Article 104(1)(d)]	0.00
056	102(1)(b)		
	and other	to restrict/limit business or activities [Article 104(1)(e)]	0.00
057		to reduce the risk inherent in the activities, products and systems [Article 104(1)(f)]	0.00
058	provisions	to limit variable remuneration [Article 104(1)(g)]	0.00
059	of Directive	to strenathen own funds by usina net profits (Article 104(1)(h))	0.00
060	2013/36/EU	to restrict/prohibit distributions or interest payments [Article 104(1)(i)]	0.00
061	or	to impose additional or more frequent reporting requirements [Article 104(1)(j)]	0.00
062	Regulation	to impose specific liquidity requirements (Article 104(1)(k))	0.00
063	(EU) No	to impose additional disclosure requirements [Article 104(1)(I)]	0.00
064	EZE/2012	Number and nature of other supervisory measures taken (not listed in Article 104(1) of Directive	24.0
			_
		Administrative penalties (2)	dat
	Credit instit		
	Administrati	Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	0.00
065	ve penalties		
	(for breaches	public statements identifying the natural/legal person responsible and the nature of the breach	0.00
066	of	[Article 66(2)(a)]	0.00
	authorisation/	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0.00
067	acquisitions of	repetition of that conduct [Article 66(2)(b)]	0.00
		administrative pecuniary penalties imposed on legal/natural person [points (c) to (e) of Article	
068	qualifying	66(2)1	0.0
069	holding	suspensions of the voting rights of shareholders [Article 66 (2)(f)]	0.0
000	requirements	Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive	0.0
070	)	Number and nature of other administrative penalties applied (not specified in Article 60(2) of Directive	0.0
071	Administrati	Total number of administrative penalties from Article 67(2) of Directive 2013/36/EU applied:	5.0
	ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach	0.0
072	(for other	[Article 67(2)(a)]	
	breaches of	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0.0
073	requirements	repetition of that conduct [Article 67(2)(b)]	0.0
074	imposed by	withdrawals of authorisation of credit institution [Article 67(2)(c)]	0.0
	Directive	temporary bans against natural person from exercising functions in credit institutions [Article	
075	2013/36/EU	67(2)(d)]	2.00
	or Regulation	administrative pecuniary penalties imposed on legal/natural person [points (e) to (q) of Article	
076	(EU)	67(2)1	3.0
310	(EU)		-
	575/2013)	Number and nature of other administrative penalties applied (not specified in Article 67(2) of Directive	. 1
077	,,	2013/36/EU)	reprim
	Investment	firms	
078		Total number of administrative penalties from Article 66(2) of Directive 2013/36/EU applied:	0.00
010	Administrati		
	ve penalties	public statements identifying the natural/legal person responsible and the nature of the breach	0.00
		[Article 66(2)(a)]	1
079	(for breaches	orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0.00
079	(for breaches of		
	of		0.00
079	of authorisation/	repetition of that conduct [Article 66(2)(b)]	-
080	of authorisation/ acquisitions of		-
	of authorisation/ acquisitions of qualifying	repetition of that conduct [Article 66(2)(b)] administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)]	0.00
080	of authorisation/ acquisitions of qualifying holding	repetition of that conduct [Article 66(2)(b)]	0.00
080	of authorisation/ acquisitions of qualifying	repetition of that conduct [Article 66(2)(b)] 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)]	0.00
080 081 082	of authorisation/ acquisitions of qualifying holding	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive	0.00
080	of authorisation/ acquisitions of qualifying holding	repetition of that conduct [Article 66(2)(b)] 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)]	0.00
080 081 082 083	of authorisation/ acquisitions of qualifying holding requirements )	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU)	0.00
080 081 082	of authorisation/ acquisitions of qualifying holding requirements )	repetition of that conduct [Article 66(2)(b)] administrative pecuniary penalties imposed on a legal person [points (c) to (e) of Article 66(2)] suspensions of the vottion gights 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) Total number of administrative penalties from Article 66(2) of Directive 2013/36(EU) applied:	0.00
080 081 082 083 084	of authorisation/ acquisitions of qualifying holding requirements )	repetition of that conduct [Article 66(2)(b)] 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2031/3/6/EU) Total number of administrative penalties from Article 66(2) of Directive 2013/3/6/EU applied: Total number of administrative penalties from Article 66(2) of Directive 2013/3/6/EU applied:	0.00
080 081 082 083	of authorisation/ acquisitions of qualifying holding requirements ) Administrati ve penalties	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) 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 67(2)(1s)]	0.00
080 081 082 083 084	of authorisation/ acquisitions of qualifying holding requirements )	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU 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 57(2)(a)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0.00 0.00 0.00 0.00
080 081 082 083 084 085	of authorisation/ acquisitions of qualifying holding requirements ) Administrati ve penalties (for other	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36(EU) 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 67(2/161)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a resettion of that conduct [Article 67(2)(b)]	0.00 0.00 0.00 0.00
080 081 082 083 084	of authorisation/ acquisitions of qualifying holding requirements ) Administrati ve penalties (for other breaches of requirements	repetition of that conduct [Article 66(2)(b)] ' 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU 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 57(2)(a)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a	0.00 0.00 0.00 0.00
080 081 082 083 084 085	of authorisation/ acquisitions of qualifying holding requirements )  Administrati ve penalties (for other breaches of requirements imposed by	repetition of that conduct [Article 66(2)(b)]  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)]  Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive  2013/36/EU)  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 67/21/EII] en antural/[Eigal person responsible to case the conduct and to desist from a  receition of that conduct [Article 67/2(b)].	0.00 0.00 0.00 0.00 0.00
080 081 082 083 084 085 086	of authorisation/ acquisitions of qualifying holding requirements )  Administrati ve penalties (for other breaches of requirements imposed by Directive	repetition of that conduct [Article 66(2)(b)] ' 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)]  Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive  2013/36(EU)  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 67(2)(a)]  orders requiring the natural/legal person responsible to cease the conduct and to desist from a  recettion of that conduct [Article 67(2)(b)]  withdrawals of authorisation of investment firms [Article 67(2)(c)]  itemporary bens against natural person from exercising functions in investment firms [Article brown or the person of the pers	0.00 0.00 0.00 0.00 0.00
080 081 082 083 084 085	of authorisation/ acquisitions of qualifying holding requirements )  Administrati ve penalties (for other breaches of requirements imposed by Directive 2013/36/EU	repetition of that conduct [Article 66(2)(b)] 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) 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 67/21(61)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct. Article 67/21(b) [temporary bans against natural person from exercising functions in investment firms [Article 67/21(d)]	0.00 0.00 0.00 0.00 0.00 0.00
080 081 082 083 084 085 086 087	of authorisation/acquisitions of qualifying holding requirements )  Administrative penalties (for other breaches of requirements imposed by Directive 2013/36/EU or Regulation	repetition of that conduct [Article 66(2)(b)]  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)]  Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive  2013/36/EU)  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 67(2)(s)]  orders requiring the natural/legal person responsible to cease the conduct and to desist from a  resettion of that conduct [Article 67(2)(b)]  withdrawable of authorisation of investment firms [Article 67(2)(c)]  [Article 10   Article 10	0.00 0.00 0.00 0.00 0.00 0.00
080 081 082 083 084 085 086	of authorisation/ acquisitions of qualifying holding requirements )  Administrati ve penalties (for other breaches of requirements imposed by Directive 2013/36/EU	repetition of that conduct [Article 66(2)(b)] 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)] Number and nature of other administrative penalties applied (not specified in Article 66(2) of Directive 2013/36/EU) 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 67/21(61)] orders requiring the natural/legal person responsible to cease the conduct and to desist from a repetition of that conduct. Article 67/21(b) [temporary bans against natural person from exercising functions in investment firms [Article 67/21(d)]	0.00 0.00 0.00 0.00 0.00 0.00 0.00

Competent authorities shall not disclose supervisory actions or decisions directed at specific institutions. When publishing information on the general rather 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.

(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 disciousue. 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 th administrative penalties is used.

Due to differences in national regulations as well as in supervisory practices and approaches across the competent authorities the figure provided in this label might not allow for a meaningful comparison between jurisdictions. Any conclusions without carefully considering the influences can be midiesation.

(2) The administrative penalties imposed by competent authorities. Competent authorities shall report all administrative penalties against v