

03/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	GTX Options		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Meadows Financial		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Loeb-Benson		21/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Daiju Commodity Markets		22/11/2018
27/12/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Resona Dai-Ichi Group		13/03/2019
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Day Dream Investments Ltd (Utrader)		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Schalom and Gerson / SG Finance		21/11/2018
11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Kangyo Yokohama Securities		21/11/2018
11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Asahi Marusan Management		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Hollis Kookmin Financial		21/11/2018
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Denman-Brys Group		21/11/2018
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Evans Chamberlain		21/11/2018
12/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	HybridReserve (SingleBell LTD / SingleBell OU)		21/02/2019
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Reed Cavendish Wealth Management		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Wainwright Marks Management		22/11/2018
27/12/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	IBG Capital Partners / Index Financial Group / State Bridge Partners		13/03/2019
27/12/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	KLMholdings		13/03/2019

[illegible]

[illegible]

24/09/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Masonford		04/10/2019
22/10/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Trendinggraphs (Premium Systems)		25/10/2019
09/07/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.fortis-prime.com		17/07/2019
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Bitcoin-Evolution / Bitcoin-Revolution		08/04/2020
11/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.actio-prevoyance.com		07/04/2020
03/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Expert Base27		18/02/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Kingston Trading		08/04/2020
21/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Marketscube		24/06/2019
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Gato Capital Partners ( <a href="https://gatocapitalpartners.com/">https://gatocapitalpartners.com/</a> )		08/04/2020
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Byron-Stafford ( <a href="https://byron-stafford.com/">https://byron-stafford.com/</a> )		08/04/2020
17/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	OmegaFX		23/12/2019
01/09/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
11/12/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
12/01/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			27/07/2017
16/06/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
17/02/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			09/04/2015
27/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			20/05/2015
07/04/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			20/05/2015

07/03/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
03/04/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/06/2015
19/10/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
03/07/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
16/02/2017	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			27/07/2017
13/07/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			19/08/2015
30/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			08/12/2015
30/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
11/01/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
16/12/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
28/01/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			10/03/2015
01/02/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
21/11/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
13/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
14/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
25/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
25/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
13/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			02/04/2015
15/12/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
13/05/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015
30/11/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			27/07/2017
03/05/2012	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015

06/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
25/03/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
16/12/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
09/07/2013	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
17/02/2017	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			27/07/2017
20/04/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/08/2015
22/02/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
04/01/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
02/04/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
02/04/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
25/02/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			18/03/2015
02/04/2011	BULGARIA	MiFID	Administrative sanction	Financial Services Authority (FSA)			06/03/2015
24/11/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
21/10/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
21/10/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
08/04/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/06/2015
15/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
20/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			20/05/2015
15/05/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015
02/07/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
09/07/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
25/06/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015

14/07/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
30/06/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
21/05/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015
04/03/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			05/03/2015
04/03/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			05/03/2015
31/08/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/09/2016
28/02/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/02/2014
16/01/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			13/02/2014
15/04/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			07/02/2014
16/01/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			13/02/2014
31/01/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			13/02/2014
03/10/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/02/2014
31/03/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			11/04/2016
15/10/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/10/2014
16/06/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/09/2016
15/10/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/10/2014
22/09/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			28/09/2015
09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/09/2014
08/06/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/06/2017
21/03/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/04/2017
21/03/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/04/2017
30/05/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2014

03/07/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			18/07/2014
03/07/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			18/07/2014
03/07/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			18/07/2014
03/07/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			18/07/2014
24/02/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/04/2016
13/01/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			17/01/2017
23/02/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/04/2017
07/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/11/2016
07/05/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/05/2019
07/05/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/05/2019
07/05/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/05/2019
18/04/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			19/04/2019
31/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/02/2018
16/01/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
21/02/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
06/03/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
03/07/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			07/11/2017
17/10/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/02/2019
03/07/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
17/10/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
15/01/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018



[illegible]

13/02/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		13/02/2023	14/02/2020
14/06/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		14/06/2022	27/06/2019
15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		15/11/2023	21/02/2019
15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		15/11/2023	21/02/2019
12/10/2016	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)		12/10/2021	02/10/2017
06/08/2013	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)			24/02/2014
01/07/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	PRADO PARADIS PATRIMOINE	01/07/2023	01/08/2019
24/01/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	NOVACTIFS PATRIMOINE	24/01/2024	31/07/2019
20/05/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	HEDIOS PATRIMOINE	20/05/2024	01/08/2019
02/07/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	INVEST SECURITIES	02/07/2024	01/08/2019
28/12/2018	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	AMADEIS	28/12/2023	31/07/2019
08/05/2013	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/02/2014
12/11/2012	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/02/2014
30/01/2013	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/02/2014
11/09/2013	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/02/2014
14/02/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			17/02/2014
04/04/2012	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/02/2014
11/10/2016	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Capita Life and Pensions Services (Ireland) Limited		17/10/2016

[illegible]

29/09/2015	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			16/11/2015
10/08/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			04/09/2017
08/03/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			13/03/2017
29/07/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
01/09/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
11/08/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
10/11/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			05/10/2016
14/04/2016	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			18/04/2016
07/08/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
04/06/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
20/06/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/12/2014
28/10/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			03/11/2014
08/10/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	BANCA POPOLARE DI BARI SOCIETA' COOPERATIVA PER AZIONI		20/02/2019
08/10/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			20/02/2019
06/10/2016	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			10/10/2016
18/10/2016	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	FERROFORTIA LIMITED		24/10/2016

[illegible]

27/09/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			23/10/2018
19/03/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/05/2018
13/04/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/05/2018
21/06/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
21/06/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
06/11/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			12/11/2018
26/07/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
29/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			24/06/2019
11/02/2020	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			24/02/2020
16/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			24/06/2019
16/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			24/06/2019
28/03/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			07/05/2018
05/03/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	ADEMAF SA		11/03/2019
31/08/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			23/10/2018
15/06/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			25/06/2018
29/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	BANCA CONSULIA SPA		24/06/2019
02/04/2020	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	CREDITO LOMBARDO VENETO S.P.A.		13/04/2020
24/06/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			08/07/2019



[illegible]



[illegible]

[illegible]

[illegible]

[illegible]

06/06/2013	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
21/02/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
16/02/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
21/02/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
11/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			11/07/2016
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
04/08/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/08/2016
04/08/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/08/2016
13/08/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/01/2015
18/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/03/2014
18/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/03/2014

18/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/03/2014
01/09/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
27/07/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
27/07/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
27/07/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
27/07/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
17/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/03/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017

12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
06/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
01/09/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
06/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
22/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
16/06/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			02/07/2014
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
11/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/09/2014
27/07/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/10/2017
16/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/09/2014
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
16/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/09/2014
16/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/09/2014
13/08/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/08/2014

16/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/09/2014
17/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/03/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
15/05/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2017
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015



23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
08/02/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
16/09/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/09/2014
13/08/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/01/2015
13/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
13/08/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/01/2015
18/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/03/2014
04/08/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/08/2016
06/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
04/08/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/08/2016
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
21/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/07/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
21/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/07/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
11/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			11/07/2016
09/08/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/10/2018

17/09/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/10/2018
25/09/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			24/10/2018
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018
20/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
08/08/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/10/2018
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
09/10/2018	ROMANIA	MiFID	Administrative sanction				10/12/2018
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018
05/11/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			21/11/2018
17/09/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			24/10/2018
14/01/2019	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/01/2019
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
17/12/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/12/2018
28/06/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/11/2018
28/06/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/11/2018
28/06/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/11/2018
28/03/2019	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			06/04/2019
06/12/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			13/12/2018
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018



01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Carlyle Capital Management		05/10/2020
01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Akiyama Acquisitions		05/10/2020
01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Ashton Group Ltd		05/10/2020
06/07/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	FIRST PROPERTY (ANCIENNEMENT <a href="https://firstproperty.eu">HTTPS://FIRSTPROPERTY.EU</a> )		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Primecapitec		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Solidcapital		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Invcenter		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Remaxima		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Qteck		05/10/2020
01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Crest View International		05/10/2020
01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	ILA International		05/10/2020
01/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Dunn & Burchill		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Inertactive Trade		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	CMarketsGroup		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	WinnGroup		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Akita Michinoku Company		05/10/2020

21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
14/07/2020	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)			10/11/2020
04/11/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/11/2020
04/11/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/11/2020
04/11/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/11/2020
04/11/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/11/2020
04/11/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/11/2020
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Financial Reserve Capital Management		05/01/2021
03/07/2020	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Groupe Consultant en Gestion Financière Internationale (CGFI)	03/07/2025	31/12/2020
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BitCapitals		05/01/2021
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Global CTB		05/01/2021
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Bubblext		05/01/2021
18/12/2020	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Digne Conseils & Gestion	18/12/2025	31/12/2020
23/07/2020	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	TEC ASSURANCE	23/07/2025	31/12/2020
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	GCG International		05/01/2021
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Brokerunity		05/01/2021
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	FDI Funds		05/01/2021
22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	GFX Royal		05/01/2021



[illegible]

23/01/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	International Markets Live LTD		21/11/2018
11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Cruzinvest.uk - Publicprivatebank.com		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Burton Mills		21/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Fraser Hammond		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	RWM Holdings		22/11/2018
12/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	PBN CAPITAL (CAPITAL TECH LTD / PBOX LTD)		21/02/2019
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.financial-liquidity.com		08/04/2020
11/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.winbankfinance.on line		07/04/2020
03/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Duxa Capital		18/02/2020
24/09/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Infinitrade		04/10/2019
22/10/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Capital Pilots		25/10/2019
26/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	JT-Europe (www.jt-europe.com)		19/03/2019
28/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Sheridan Wells Advisors		24/06/2019
10/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.dif-patrimoine.com		23/12/2019
28/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Elizabeth Lenz		24/06/2019
11/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.cesco-invest.com		07/04/2020



[illegible]



12/11/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	SBAV Group (www.sbavgroup.com/)		13/12/2019
22/10/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Stock global		25/10/2019
10/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.act-financial-solutions.com		23/12/2019
11/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.intesa-gestion.com		07/04/2020
03/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Bormancorp		18/02/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Grand Capital		08/04/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Universal Markets		08/04/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	FX prime		08/04/2020
12/11/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Morgan Cowen Capital Markets (www.morgan-cowen.com/)		13/12/2019
27/11/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
01/03/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			17/03/2015
29/02/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
20/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			20/05/2015
22/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			24/11/2015
25/02/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
01/03/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			30/03/2015
23/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			19/11/2015
10/11/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
23/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			26/11/2015

29/03/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
09/11/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
26/11/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
24/03/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
13/04/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
14/11/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
06/12/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
31/03/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
19/12/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
01/03/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
03/02/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
03/12/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
09/08/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
01/11/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
27/10/2011	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
20/03/2013	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
28/11/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
17/12/2014	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
01/03/2013	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			06/03/2015
06/07/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
24/06/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
16/04/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015

[illegible]

22/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/12/2016
07/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/11/2016
10/12/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/12/2014
11/06/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/06/2015
24/02/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/04/2016
31/03/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			11/04/2016
21/03/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/04/2017
22/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			06/12/2016
06/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/11/2016
08/06/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/06/2017
08/06/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/06/2017
14/07/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/09/2016
18/04/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			19/04/2019
17/10/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/02/2019
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
15/01/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
12/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
28/11/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
12/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
03/07/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
19/07/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019

31/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
31/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
28/11/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
26/01/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
31/10/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
24/04/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
23/02/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			07/11/2017
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/02/2018
26/01/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
03/07/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
24/04/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
24/04/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
18/09/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/02/2018
13/01/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			16/03/2018
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
28/01/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
21/02/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			27/09/2018
28/11/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018







[illegible]

29/04/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			06/05/2019
29/03/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			08/04/2019
03/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			20/05/2019
05/12/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			05/02/2018
26/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)	BANCA POPOLARE VALCONCA - SOCIETA' PER AZIONI		04/03/2019
19/02/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			26/02/2018
15/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			20/02/2019
31/10/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			05/02/2018
06/03/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)	B.H.N.V. ONLINE LTD		05/02/2018
06/08/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			23/10/2018
31/08/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			23/10/2018
21/06/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
02/11/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			05/02/2018
25/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)	BANCA POPOLARE SANT'ANGELO S.C.P.A.		24/06/2019
25/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			04/03/2019
06/06/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			18/06/2018
13/04/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			07/05/2018

[illegible]

20/10/2015	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	ABN Amro Bank N.V.		18/10/2017
10/09/2015	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Gooisch Effectenhuis		18/10/2017
29/12/2016	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	ABF Adviesgroep B.V.		18/10/2017
28/08/2014	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	ABN Amro Bank N.V.		18/10/2017
01/07/2016	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Binck Bank N.V.		18/10/2017
25/11/2016	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Crol, mr. E.J.		05/10/2017
06/06/2013	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Global Return B.V.		03/03/2014
06/06/2013	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Inhout Sales & More		03/03/2014
09/07/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Mercurius Dom Maklerski Sp. z o.o.		11/10/2019
12/01/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
10/04/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
29/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
29/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014

31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
29/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/07/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/07/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
25/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
28/06/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
28/06/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
28/06/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
28/06/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
12/02/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/02/2014
25/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
25/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
25/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
04/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			14/03/2014
04/03/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			14/03/2014
23/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
28/06/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
22/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
23/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
20/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014

[illegible]

[illegible]



[illegible]

12/01/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
08/03/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
27/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
06/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
09/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
13/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
10/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			18/12/2015
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
11/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			11/07/2016

12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
22/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
22/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
22/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
22/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
21/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/07/2016
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
09/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
12/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			13/10/2017
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016

24/02/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/03/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
27/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
23/04/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/05/2015
09/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
03/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			07/08/2015
09/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
27/08/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
17/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			19/03/2015
18/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/02/2016
18/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/02/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
18/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/02/2016
09/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
18/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/02/2016
09/07/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			17/07/2015
13/08/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/08/2014
20/03/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			26/03/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
30/05/2014	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			03/06/2014

16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
16/06/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			10/07/2015
24/05/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
27/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
22/06/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
05/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
08/05/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/03/2016
13/11/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			20/11/2015
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
18/12/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			05/02/2016
21/04/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/06/2016
08/02/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
08/02/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
23/10/2015	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016

08/02/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			08/02/2016
14/01/2019	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			22/01/2019
04/12/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			13/12/2018
21/07/2016	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/07/2016
05/11/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			21/11/2018
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
19/04/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/04/2018
14/01/2019	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/01/2019
17/12/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/12/2018
17/12/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/12/2018
17/12/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			21/12/2018
14/01/2019	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			22/01/2019
25/09/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/10/2018
09/08/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/10/2018
08/08/2018	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			24/10/2018
02/03/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/03/2018
28/06/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			09/11/2018
06/02/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/02/2018
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
22/02/2019	ROMANIA	MiFID	Administrative measure	Romanian Financial Supervisory Authority			19/03/2019
04/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
02/03/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			16/03/2018

[illegible]

20/07/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	UCM LIMITED (WWW.UCM-LIMITED.COM)		11/08/2020
28/07/2020	BELGIUM	MiFID	Administrative sanction	Financial Services and Markets Authority (FSMA)	Banque Degroof Petercam SA/NV		11/08/2020
26/06/2020	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	CERES FINANCE	26/06/2025	18/08/2020
20/12/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	GSD GESTION	20/12/2025	18/08/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		21/09/2025	16/10/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	365capitalmarkets		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	OnlineMarketShare		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Bright Finance		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	MyCoinBanking		25/11/2020



17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Profits Trade		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Markets Pilot		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	MottoFX		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	OTPFX		25/11/2020
29/11/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		29/11/2022	16/12/2020
24/11/2016	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		24/11/2021	16/12/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Synergy Capitals		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Solid Invest		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	TradersChain		25/11/2020
17/11/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Uptos		25/11/2020
02/07/2014	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			30/12/2020
15/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Brookfield Investment fund plc ( <a href="https://brookfieldinvestmentfundsplc.net">https://brookfieldinvestmentfundsplc.net</a> )		21/12/2020
15/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Asse-Groupe ( <a href="http://www.asse-groupe.com">www.asse-groupe.com</a> )		21/12/2020
15/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	PATRIMOINE CONNECT ( <a href="https://4GSTE3-12QXT9901MND.COM">HTTPS://4GSTE3-12QXT9901MND.COM</a> )		21/12/2020
15/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Vuelex ( <a href="http://www.vuelex.com">www.vuelex.com</a> )		21/12/2020
15/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	CREATE CAPITAL INVEST ( <a href="http://WWW.CREATECAPITALINVEST.COM">WWW.CREATECAPITALINVEST.COM</a> )		21/12/2020

31/10/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		31/10/2022	16/12/2020
24/11/2016	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		24/11/2021	16/12/2020
22/01/2021	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		22/01/2026	08/02/2021
18/01/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			29/01/2021
18/01/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			29/01/2021
27/01/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			29/01/2021
27/01/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			29/01/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Binvesting		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Finexics		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	4TFX		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BitStarMarkets		30/03/2021
10/03/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BTC Brokerz		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	STR Capital		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Tradezmarket		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Capitalfx		30/03/2021
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	XTRgate		30/03/2021
10/03/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			30/03/2021

[illegible]

11/02/2014	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Nordea Bank Danmark A/S		20/02/2014
16/01/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	A. SARRIS INVESTMENT SERVICES S.A.		18/02/2014
29/08/2014	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Vestjysk Bank A/S		10/11/2014
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	MERIT SECURITIES A.E.P.E.Y.		02/06/2015
17/09/2015	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	MERIT SECURITIES A.E.P.E.Y.		23/09/2015
05/05/2017	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	Infinity ELITE, o.c.p., a.s.		15/05/2017
13/07/2015	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	JELLYFISH o.c.p., a.s.		23/07/2015
09/06/2016	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	Cornill Management, o.c.p., a.s.		16/06/2016
11/05/2015	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	ZENIT kapital o.c.p., a.s.		19/06/2015
11/06/2011	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	ATLANTIK finanční trhy, a.s.		28/01/2015
10/06/2015	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	BH Securities a.s.		14/09/2015
23/06/2015	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	Colosseum, a.s.		14/09/2015
15/10/2012	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	Colosseum, a.s.		15/08/2014
01/09/2011	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	ATLANTIK finanční trhy, a.s.		28/01/2015
01/10/2010	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	Raiffeisenbank a.s.		29/01/2015
22/02/2011	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	Patria Finance, a.s.		29/01/2015
12/10/2011	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	Raiffeisenbank a.s.		29/01/2015
21/10/2010	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	WOOD & Company Financial Services, a.s.		29/01/2015
21/05/2010	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	UniCredit Bank Czech Republic and Slovakia, a.s.		29/01/2015
28/04/2012	CZECH REPUBLIC	MAD	Not requested by ESMA when submitted	Czech National Bank (CNB)	Komerční banka, a.s.		29/01/2015
05/10/2010	CZECH REPUBLIC	MAD	Not requested by ESMA when submitted	Czech National Bank (CNB)	Raiffeisenbank a.s.		29/01/2015
13/12/2019	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	Arca Brokerage House o.c.p., a.s.		05/02/2020

10/11/2015	SLOVAKIA	UCITS	Administrative sanction and measure	National Bank of Slovakia (NBS)	VÚB Asset Management, správ. spol., a.s.		11/12/2015
31/05/2016	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	HighSky Brokers, a.s.		29/03/2018
15/02/2011	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	EFEKTA obchodník s cennými papíry a.s.		28/01/2015
27/08/2013	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	CYRRUS, a.s.		08/09/2014
07/04/2010	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	J & T BANKA, a.s.		29/01/2015
25/06/2012	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	CYRRUS, a.s.		28/01/2015
01/09/2012	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	J & T BANKA, a.s.		29/01/2015
22/03/2010	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	CYRRUS, a.s.		28/01/2015
22/11/2016	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	J & T BANKA, a.s.		29/03/2018
28/05/2014	CZECH REPUBLIC	MiFID	Administrative sanction	Czech National Bank (CNB)	HighSky Brokers, a.s.		14/09/2015
17/06/2016	CZECH REPUBLIC	UCITS	Administrative sanction and measure	Czech National Bank (CNB)	Generali Investments CEE, investiční společnost, a.s.		28/07/2016
18/05/2016	CZECH REPUBLIC	UCITS	Administrative sanction and measure	Czech National Bank (CNB)	AXA investiční společnost a.s.		28/07/2016
22/12/2011	CZECH REPUBLIC	UCITS	Administrative sanction and measure	Czech National Bank (CNB)	ČSOB Asset Management, a.s., investiční společnost		29/01/2015
10/09/2018	SLOVAKIA	MiFID	Administrative sanction	National Bank of Slovakia (NBS)	VALOR, o.c.p., a.s.		23/10/2018
17/08/2018	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Aalto Bankers Ltd		09/11/2018
19/06/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Statkraft Financial Energy AB		26/02/2014
15/04/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Ericsson & Partners Förmögenhetsförvaltning AB		26/02/2014
12/11/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Mangold Fondkommission AB		26/02/2014
15/10/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	JRS Asset Management AB		26/02/2014
11/06/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Coeli AB		26/02/2014
15/04/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Global Invest Finansförmedling Sverige AB		26/02/2014

[illegible]

15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	ACTIVOTRADE VALORES, AGENCIA DE VALORES, SOCIEDAD ANÓNIMA	15/11/2023	20/02/2019
15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	ACTIVOTRADE VALORES, AGENCIA DE VALORES, SOCIEDAD ANÓNIMA	15/11/2023	20/02/2019
03/07/2019	ITALY	MiFID	Administrative measure	BANCA D'ITALIA	ADVANCE SOCIETA' DI INTERMEDIAZIONE MOBILIARE - SOCIETA' PER AZIONI		31/07/2019
08/03/2016	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	FX-CAM Consulting and Advertisement Ltd		03/04/2017
31/12/2012	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	AFX CAPITAL MARKETS LTD		16/09/2014
10/11/2020	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Oberbank AG	10/11/2025	24/11/2020
17/05/2016	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	MERCADOS Y GESTION DE VALORES, AGENCIA DE VALORES, S.A.	17/05/2021	06/04/2019
15/10/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	MERCADOS Y GESTION DE VALORES, AGENCIA DE VALORES, S.A.	15/10/2023	11/01/2019
30/10/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	JULIUS BAER AGENCIA DE VALORES, S.A.	30/10/2022	22/11/2017
30/10/2017	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	MERCADOS Y GESTION DE VALORES, AGENCIA DE VALORES, S.A.	30/10/2022	23/08/2019
15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	AHORRO CORPORACION FINANCIERA, S.V., S.A.	15/11/2023	20/02/2019
15/11/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	AHORRO CORPORACION FINANCIERA, S.V., S.A.	15/11/2023	20/02/2019
18/10/2016	SPAIN	MAD	Not requested by ESMA when submitted	Comisión Nacional del Mercado de Valores (CNMV)	AHORRO CORPORACION FINANCIERA, S.V., S.A.	18/10/2021	03/11/2016
22/10/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	B & P Fund Services Aktiebolag		20/01/2015
26/06/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Skandiabanken Aktiebolag (publ)		03/07/2014
04/01/2021	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Bank Gutmann Aktiengesellschaft	04/01/2026	11/01/2021
30/03/2017	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Schoellerbank Aktiengesellschaft	30/07/2023	24/10/2018

28/11/2017	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	DIVINUS Befektetési Alapkezelő Zártkörűen Működő Rt.		14/03/2018
27/03/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	DIVINUS Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
30/08/2012	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	Erste Alapkezelő Zártkörűen Működő Rt.		29/01/2014
08/10/2014	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	CARION Befektetési Alapkezelő Zártkörűen Működő Rt.		21/10/2014
25/09/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	Budapest Alapkezelő Zártkörűen Működő Rt.		13/02/2014
15/04/2014	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	Biggeorge's-NV Ingatlan Befektetési Alapkezelő Zártkörűen Működő Rt.		08/05/2014
24/05/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	QUAESTOR Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
04/11/2015	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	Globeserv Befektetési Alapkezelő Zártkörűen Működő Rt.		20/11/2015
19/04/2017	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	Pannónia CIG Alapkezelő Zártkörűen Működő Részvénytársaság		06/06/2017
20/09/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	OTP Alapkezelő Zártkörűen Működő Részvénytársaság		29/01/2014
03/05/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	K&H Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
08/02/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	Pioneer Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
22/03/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	FirstFund Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
03/05/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	K&H Befektetési Alapkezelő Zártkörűen Működő Rt.		29/01/2014
04/11/2015	HUNGARY	UCITS	Administrative sanction and measure	Central Bank of Hungary	QUAESTOR Befektetési Alapkezelő Zártkörűen Működő Rt.		20/11/2015



[illegible]

26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		02/06/2015
29/08/2013	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		18/02/2014
06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Helsinki Area Cooperative Bank		05/05/2017
15/06/2020	NORWAY	MiFID	Criminal sanction	Norwegian Financial Supervisory Authority	JOOL MARKETS AS		12/06/2020
15/09/2017	NORWAY	MiFID	Administrative sanction	Norwegian Financial Supervisory Authority	NORDIC SECURITIES AS		10/04/2018
25/09/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Natixis Asset Management Finance	25/09/2024	18/10/2019
24/02/2020	LITHUANIA	UCITS	Administrative sanction and measure	Bank of Lithuania (LSC)	UAB „Orion Asset Management"		02/04/2020
21/02/2017	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	GESIURIS ASSET MANAGEMENT, SGIIC, S.A.	21/02/2022	28/04/2017
17/01/2020	LUXEMBOURG	EMIR	EMIR Penalty	Commission de Surveillance du Secteur Financier (CSSF)	EDMOND DE ROTHSCHILD ASSET MANAGEMENT (LUXEMBOURG)	16/09/2025	09/10/2020
22/03/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Erste Asset Management GmbH	27/03/2024	09/04/2019
05/11/2018	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	NOVACAP ASSET MANAGEMENT S.A.	28/12/2023	09/01/2019
20/12/2017	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	VICTORY ASSET MANAGEMENT S.A.	20/12/2022	08/01/2018
18/12/2017	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	BCP Asset Management DAC		25/01/2018
17/04/2017	MALTA	UCITS	Administrative sanction and measure	Malta Financial Services Authority (MFSA)	TEMPLE ASSET MANAGEMENT LIMITED		18/04/2017
23/12/2020	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	QUINTET ASSET MANAGEMENT, SGIIC, S.A.	23/12/2025	22/01/2021
23/12/2020	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	QUINTET ASSET MANAGEMENT, SGIIC, S.A.	23/12/2025	22/01/2021
19/01/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ATLAS SECURITIES S.A.		20/03/2015
30/10/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A.	30/10/2022	20/11/2017
30/10/2017	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A.	30/10/2022	20/11/2017

13/02/2018	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A.	13/02/2023	02/12/2019
04/03/2014	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	AVA Trade EU Limited		03/06/2015
04/11/2019	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	AXXION S.A.	16/01/2025	13/10/2020
06/06/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	B.O. TRADEFINANCIALS LTD		28/02/2018
21/08/2017	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Het Effectenhuis Commissionairs B.V.		04/10/2017
18/01/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	BANC DE BINARY LTD		06/03/2018
29/11/2012	PORTUGAL	MiFID	Administrative sanction	Comissão do Mercado de Valores Mobiliários (CMVM)	Banco Invest, SA		06/08/2014
04/09/2018	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	NOVO BANCO GESTION, SGIIC, S.A.	04/09/2023	20/02/2019
26/03/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Raiffeisen Bank Zártkörűen Működő Részvénytársaság		29/01/2014
22/11/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	ERSTE BANK HUNGARY Zártkörűen Működő Részvénytársaság		29/01/2014
14/09/2018	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	NHB Növekedési Hitel Bank Zártkörűen Működő Részvénytársaság		24/06/2019
19/07/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	KDB Bank Európa Zártkörűen Működő Részvénytársaság		13/02/2014
23/04/2018	HUNGARY	MAR	Administrative measure	Central Bank of Hungary	Magyar Takarékszövetkezeti Bank Zártkörűen Működő Részvénytársaság		04/07/2018
15/05/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	UniCredit Bank Hungary Zrt.		13/02/2014
26/03/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Raiffeisen Bank Zártkörűen Működő Részvénytársaság		29/01/2014
04/11/2019	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	MKB Bank Zrt.		06/05/2020

17/09/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	MKB Bank Zrt.		29/01/2014
22/04/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Magyar Takarékszövetkezeti Bank Zártkörűen Működő Részvénytársaság		29/01/2014
26/04/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Raiffeisen Bank Zártkörűen Működő Részvénytársaság		29/01/2014
22/04/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Magyar Takarékszövetkezeti Bank Zártkörűen Működő Részvénytársaság		29/01/2014
01/03/2018	HUNGARY	MiFID	Administrative measure	Central Bank of Hungary	CIB Bank Zrt.		04/07/2018
22/10/2013	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	BUDAPEST Hitel- és Fejlesztési Bank Zártkörűen Működő Részvénytársaság		13/02/2014
15/06/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	CIB Bank Zrt.		13/02/2014
04/06/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
05/01/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
31/01/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
21/06/2016	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	La Banque Postale	21/06/2021	24/06/2016
07/12/2016	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Banque Transatlantique S.A.	07/12/2021	02/10/2017
24/01/2020	FRANCE	EMIR	EMIR Penalty	Autorité des Marchés Financiers (AMF)	BRED - Banque populaire	24/01/2025	04/03/2020
19/12/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	BDSWISS HOLDING PLC		26/02/2018
30/08/2019	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	EQUILOR Befektetési Zártkörűen Működő Részvénytársaság		06/05/2020
14/09/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Erste Befektetési Zrt.		29/01/2014
17/04/2017	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	Magyar Posta Befektetési Szolgáltató Zártkörűen Működő Rt.		06/06/2017

27/10/2015	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	EQUILOR Befektetési Zártkörűen Működő Részvénytársaság		20/11/2015
14/09/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Erste Befektetési Zrt.		29/01/2014
17/07/2014	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	CENTRAL CREDIT Befektetési Tanácsadó Zrt.		21/10/2014
18/07/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt.		29/01/2014
26/04/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt.		29/01/2014
18/07/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt.		29/01/2014
12/02/2020	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Raiffeisenbank Reutte registrierte Genossenschaft mit beschränkter Haftung	13/03/2025	18/05/2020
18/09/2018	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Raiffeisenlandesbank Vorarlberg Waren- und Revisionsverband registrierte Genossenschaft mit beschränkter Haftung		24/06/2019
15/04/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	BETA SECURITIES S.A.		10/02/2014
23/07/2014	ITALY	MAD	Not requested by ESMA when submitted	Commissione Nazionale per le Società e la Borsa (CONSOB)	BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED		10/06/2015
20/05/2015	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Bloxham		04/06/2015
07/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority	SSIF BRK FINANCIAL GROUP S.A.		06/02/2014
27/05/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Random Capital Broker Zártkörűen Működő Rt.		29/01/2014
27/05/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Random Capital Broker Zártkörűen Működő Rt.		29/01/2014
18/09/2018	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Raiffeisenlandesbank Burgenland und Revisionsverband eGen		24/06/2019

06/12/2019	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	CANDRIAM LUXEMBOURG	25/09/2025	13/10/2020
12/12/2012	IRELAND	MAD	Not requested by ESMA when submitted	Central Bank of Ireland (CBI)	Cantor Fitzgerald Ireland Limited		11/02/2014
05/04/2017	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt.		06/06/2017
10/02/2017	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt.		06/06/2017
10/05/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt.		29/01/2014
19/06/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	LIONSMAN CAPITAL MARKETS (CYPRUS) LTD		26/02/2018
16/09/2016	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	ROLNIK CAPITAL OWNERS, SGIIC, S.A.	16/09/2021	14/10/2016
16/09/2016	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	ROLNIK CAPITAL OWNERS, SGIIC, S.A.	16/09/2021	14/10/2016
05/12/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	NOVOX CAPITAL LTD		28/02/2018
28/08/2020	MALTA	MiFID	Administrative sanction	MFSA	MPM CAPITAL INVESTMENTS LIMITED		13/11/2020
31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority	SWISS CAPITAL S.A.		06/02/2014
14/11/2014	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Privanet Capital Markets Ltd		16/12/2016
20/12/2017	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	PURE CAPITAL S.A.	20/12/2022	08/01/2018
24/10/2017	BELGIUM	UCITS	Administrative sanction and measure	Financial Services and Markets Authority (FSMA)	PURE CAPITAL S.A.		14/03/2019
03/07/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	CAPITAL SECURITIES S.A.		18/07/2014
14/02/2017	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Kinsale Capital Management Limited		02/03/2017
23/01/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	Prior Capital Cy Ltd		26/02/2018
01/07/2020	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Privanet Capital Markets Ltd		09/09/2020

[illegible]

13/03/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A.	13/03/2023	16/04/2018
13/03/2018	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A.	13/03/2023	16/04/2018
14/03/2018	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A.	14/03/2023	21/10/2019
09/10/2018	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LINK SECURITIES, SOCIEDAD DE VALORES, S.A.	09/10/2023	11/01/2019
04/06/2018	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LINK SECURITIES, SOCIEDAD DE VALORES, S.A.	04/06/2023	10/07/2018
29/01/2019	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	NORBOLSA SOCIEDAD DE VALORES, S.A.	29/01/2024	06/04/2019
23/06/2020	SPAIN	MAR	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A.	23/06/2025	21/09/2020
09/10/2018	SPAIN	MAD	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LINK SECURITIES, SOCIEDAD DE VALORES, S.A.	09/10/2023	16/12/2020
12/10/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	DEPAHO LTD		27/02/2018
06/12/2018	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Exane derivatives	06/12/2023	31/07/2019
18/01/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	OUROBOROS DERIVATIVES TRADING LTD		28/02/2018
22/02/2017	FRANCE	UCITS	Administrative sanction and measure	Autorité des Marchés Financiers (AMF)	LA FINANCIERE DESSELLIGNY SA	22/02/2022	20/02/2020
29/04/2014	LITHUANIA	UCITS	Administrative sanction and measure	Bank of Lithuania (LSC)	Dovre Forvaltning		25/11/2014
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LIVEMARKETS EAF, S.A.	21/09/2025	16/10/2020
21/09/2020	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LIVEMARKETS EAF, S.A.	21/09/2025	16/10/2020



[illegible]

05/09/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	IQ OPTION EUROPE LTD		28/02/2018
01/08/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	HF MARKETS (EUROPE) LTD		28/02/2018
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EUROTRUST INVESTMENT SERVICES S.A.		02/06/2015
19/01/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EUROXX SECURITIES S.A.		28/01/2015
27/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	MIDAS FINANCIAL SECURITIES S.A.		15/11/2016
16/05/2014	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Squared Financial Services Limited		03/06/2015
05/09/2013	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	HARVEST FINANCIAL SERVICES LTD		18/03/2014
05/10/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	Zenith Financial Limited		04/03/2014
29/11/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	Zenith Financial Limited		04/03/2014
05/09/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	OPTIONRALLY FINANCIAL SERVICES LTD		28/02/2018
15/12/2020	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	FINEXIS S.A.	23/04/2026	27/04/2021
13/03/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	UR TRADE FIX LTD		26/02/2018
30/05/2016	LITHUANIA	MiFID	Administrative sanction	Bank of Lithuania (LSC)	UAB FMJ "Orion Securities"		23/09/2016
12/02/2020	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	KEPLER-FONDS Kapitalanlagegesellschaft m.b.H.	12/02/2025	27/02/2020
02/12/2020	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	KEPLER-FONDS Kapitalanlagegesellschaft m.b.H.	02/12/2025	04/01/2021
28/01/2014	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	FXDD MALTA LIMITED		28/10/2014
18/03/2019	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	GVC GAESCO VALORES S.V., S.A.	18/03/2024	24/06/2019
14/06/2017	SPAIN	MAD	Not requested by ESMA when submitted	Comisión Nacional del Mercado de Valores (CNMV)	GVC GAESCO VALORES S.V., S.A.	14/06/2022	25/07/2017

28/01/2019	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	RIVA Y GARCIA GESTION, S.G.I.I.C., S.A.	28/01/2024	17/04/2019
18/11/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	IRONFX GLOBAL LTD		06/03/2018
10/04/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	MASTERINVEST Kapitalanlage GmbH	15/04/2024	30/04/2019
29/05/2018	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Spängler IQAM Invest GmbH	02/07/2023	24/10/2018
10/08/2018	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	MASTERINVEST Kapitalanlage GmbH	14/08/2023	24/10/2018
31/01/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		18/02/2014
15/04/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		18/02/2014
11/06/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		15/06/2015
09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		10/09/2014
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		02/06/2015
04/11/2019	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	HANSAINVEST LUX S.A.	16/01/2025	13/10/2020
23/12/2013	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	ICFD LTD		10/04/2014
13/11/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	ICFD LTD		26/02/2018
25/06/2018	FRANCE	MiFID	Administrative sanction	BANCA D'ITALIA	IG markets limited	25/06/2023	17/08/2018
25/06/2013	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Susquehanna International Securities Limited		11/02/2014
26/05/2020	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	LLB Invest Kapitalanlagegesellschaft m.b.H.	26/05/2025	24/06/2020
15/01/2020	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	NATIXIS INVESTMENT MANAGERS S.A.	24/09/2025	13/10/2020
28/03/2012	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	QUANTIS Investment Management Zártkörűen Működő Rt.		29/01/2014
06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Titanium Investment Services Ltd		05/05/2017

09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PRELIUM INVESTMENT SERVICES S.A.		10/09/2014
05/08/2020	LUXEMBOURG	UCITS	Administrative sanction and measure		UNIVERSAL-INVESTMENT-LUXEMBOURG S.A.	18/01/2026	19/01/2021
29/09/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RELIANTCO INVESTMENTS LTD		27/02/2018
23/10/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RELIANTCO INVESTMENTS LTD		26/02/2018
11/10/2013	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Sparekassen Kronjylland		07/03/2014
08/12/2015	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Octagon Online Services Limited		16/12/2015
21/03/2012	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	Merrion Stockbrokers Limited		11/02/2014
12/10/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RODELER LIMITED		27/02/2018
19/03/2019	UNITED KINGDOM	MiFID	Administrative sanction	Financial Conduct Authority (FCA)	UBS Limited		21/03/2019
17/11/2016	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	LMBO	17/11/2021	02/10/2017
02/08/2018	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	TRADOMART LTD		02/08/2018
14/06/2012	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	UB Securities Ltd		22/06/2016
21/09/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	WGM Services Ltd		27/02/2018
11/04/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Sberbank Magyarország Zártkörűen Működő Részvénytársaság		29/01/2014
10/11/2014	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	STRATEGON Értékpapír Zártkörűen Működő Rt.		12/12/2014
16/02/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	STRATEGON Értékpapír Zártkörűen Működő Rt.		29/01/2014
06/09/2017	HUNGARY	MiFID	Administrative sanction	Central Bank of Hungary	STRATEGON Értékpapír Zártkörűen Működő Rt.		14/03/2018
16/02/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	STRATEGON Értékpapír Zártkörűen Működő Rt.		29/01/2014
27/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	NATIONAL SECURITIES S.A.		15/11/2016

21/06/2016	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	NOBLE Securities SA		08/03/2017
22/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PANTELAKIS SECURITIES S.A.		08/12/2016
16/06/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PEGASUS SECURITIES S.A.		23/09/2016
31/03/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PEGASUS SECURITIES S.A.		11/04/2016
27/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PIRAEUS SECURITIES S.A.		15/11/2016
02/03/2020	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	QUAMVEST S.A.	24/09/2025	13/10/2020
21/01/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		11/04/2016
15/10/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		23/10/2014
17/09/2015	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		23/09/2015