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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
21/08/2017	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Het Effectenhuis Commissionairs B.V.		04/10/2017
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
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
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
01/03/2021	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	TRADITA	01/03/2026	11/03/2021
22/02/2017	FRANCE	UCITS	Administrative sanction and measure	Autorité des Marchés Financiers (AMF)	LA FINANCIERE DESSELLIGNY SA	22/02/2022	20/02/2020

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09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	ACTIO-CONSEIL (ANCIENNEMENT WWW.ENERGIE-DMA-ACCESS.COM ET HTTPS://ACTIO-CONSEIL.COM/)		07/07/2020
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	LionsFM		17/06/2020
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Tan Allen Piquet Asset Management		18/06/2020
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	ABConseils-patrimoine.com		18/06/2020
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Takahashi and Partners		18/06/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Innerbrokers		05/10/2020
15/09/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BigFX		05/10/2020
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 HTTPS://FIRSTPROPERTY.EU)		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



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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
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Elite Trading		08/04/2020
21/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Swissmain.com/Meridian Banc Ltd.		24/06/2019
21/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Littinvest		24/06/2019
17/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Blue Lexus		23/12/2019
17/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	OptionFX		23/12/2019
09/07/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.aeglobalinvest.com		17/07/2019
18/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.central-spot.com		07/04/2020
28/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Elibank-Vernon		24/06/2019

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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
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
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
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

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04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Commerce Wealth		19/05/2021
05/09/2013	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	HARVEST FINANCIAL SERVICES LTD		18/03/2014
19/12/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	BDSWISS HOLDING PLC		26/02/2018
15/04/2019	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	IQ OPTION EUROPE LTD		24/06/2019
18/11/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	NOTESCO FINANCIAL SERVICES LTD		06/03/2018
06/06/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	B.O. TRADEFINANCIALS LTD		28/02/2018
12/10/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RODELER LIMITED		27/02/2018
28/11/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	COLMEX PRO LTD		28/02/2018
24/10/2017	BELGIUM	UCITS	Administrative sanction and measure	Financial Services and Markets Authority (FSMA)	PURE CAPITAL S.A.		14/03/2019
18/01/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	OUROBOROS DERIVATIVES TRADING LTD		28/02/2018
02/08/2018	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	INSTANT TRADING EU LTD		02/08/2018
21/09/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	WGM Services Ltd		27/02/2018
05/09/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	OPTIONRALLY FINANCIAL SERVICES LTD		28/02/2018
23/10/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RELIANTCO INVESTMENTS LTD		26/02/2018
01/08/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	HF MARKETS (EUROPE) LTD		28/02/2018
05/12/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	NOVOX CAPITAL LTD		28/02/2018

29/06/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	ML-Capital (www.ml-capital.fr)		12/07/2021
29/06/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	La Franco-Suédoise d'investissement (www.franco-suedoise-investissement.fr)		12/07/2021
20/04/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Bruckhaus Quist		12/07/2021
20/04/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	EMW Capital		12/07/2021
20/04/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Daltium		12/07/2021
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
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
05/04/2018	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	3 Banken-Generali Investment-Gesellschaft m.b.H.	09/05/2023	24/10/2018
28/08/2018	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Amundi Austria GmbH	29/08/2023	24/10/2018
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
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
08/03/2021	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	3 Banken-Generali Investment-Gesellschaft m.b.H.	08/03/2026	11/03/2021
30/11/2020	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Amundi Austria GmbH	04/01/2026	09/02/2021
17/10/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Amundi Austria GmbH	05/11/2024	09/06/2021
04/01/2021	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Bank Gutmann Aktiengesellschaft	04/01/2026	11/01/2021
10/11/2020	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Oberbank AG	10/11/2025	24/11/2020

22/03/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Erste Asset Management GmbH	27/03/2024	09/04/2019
30/03/2017	AUSTRIA	MIFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Schoellerbank Aktiengesellschaft	30/07/2023	24/10/2018
18/09/2018	AUSTRIA	MIFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Raiffeisenlandesbank Vorarlberg Waren- und Revisionsverband registrierte Genossenschaft mit beschränkter Haftung	09/05/2024	09/06/2021
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 Burgenland und Revisionsverband eGen	09/05/2024	09/06/2021
18/12/2020	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Erste Asset Management GmbH	25/05/2026	25/06/2021
04/06/2021	AUSTRIA	MIFID	Administrative sanction	Austrian Financial Market Authority (FMA)	BNP Paribas	09/06/2026	28/06/2021
02/04/2011	BULGARIA	MIFID	Administrative sanction	Financial Services Authority (FSA)			06/03/2015
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
27/05/2013	HUNGARY	MIFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Random Capital Broker 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
10/05/2012	HUNGARY	MIFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Solar Capital Markets Értékpapír Kereskedelmi 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
27/05/2013	HUNGARY	MIFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Random Capital Broker 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
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
14/09/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Erste Befektetési Zrt.		29/01/2014
19/07/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	KDB Bank Európa Zártkörűen Működő Részvénytársaság		13/02/2014
14/09/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Erste Befektetési Zrt.		29/01/2014
23/04/2013	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			14/02/2017
03/12/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Alior Bank S.A.		06/03/2020
02/10/2018	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			15/01/2019
18/09/2018	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)	Alior Bank S.A.		09/10/2019
26/11/2013	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			14/02/2017
18/09/2018	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	X-Trade Brokers S.A.		09/10/2019
05/07/2016	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			14/02/2017
08/11/2018	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Polski Dom Maklerski S.A.		09/10/2019
18/11/2014	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			14/02/2017
31/07/2018	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)	Polski Dom Maklerski S.A.		09/10/2019

06/08/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Alior Bank S.A.		11/10/2019
19/11/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Dom Maklerski Bank Ochrony Środowiska S.A.		05/03/2020
26/03/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			10/10/2019
24/09/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			24/02/2020
26/03/2019	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)			10/10/2019
18/05/2018	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Time Asset Management S.A.		09/10/2019
18/12/2018	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	Mercurius Dom Maklerski Sp. z o.o.		09/10/2019
25/04/2017	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)	HFT Brokers Dom Maklerski S.A.		09/10/2019
21/08/2018	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)	Mercurius Dom Maklerski Sp. z o.o.		09/10/2019
22/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
02/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
22/05/2012	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
22/05/2012	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
22/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
02/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
02/05/2012	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



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06/06/2013	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/06/2013	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/06/2013	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
06/06/2013	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
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
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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
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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
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
05/11/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			21/11/2018
09/08/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			25/10/2018
29/01/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/02/2018
14/07/2020	POLAND	MiFID	Administrative measure	Polish Financial Supervisory Authority (KNF)			10/11/2020
08/12/2020	GERMANY	MiFID	Administrative sanction	Federal Financial Supervisory Authority (BaFin)			15/03/2021
08/08/2016	UNITED KINGDOM	MiFID	Administrative sanction	Financial Conduct Authority (FCA)	Cenkos Securities PLC		22/08/2016
31/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority	SWISS CAPITAL S.A.		06/02/2014
07/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority	SSIF BRK FINANCIAL GROUP S.A.		06/02/2014
05/11/2014	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	COSMIC FINANCIAL SERVICES (MALTA) LIMITED		05/11/2014
30/10/2015	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	COSMIC FINANCIAL SERVICES (MALTA) LIMITED		03/11/2015
07/10/2014	POLAND	MiFID	Administrative sanction	Polish Financial Supervisory Authority (KNF)	CENTRALNY DOM MAKLESKI PEKAO SA		08/03/2017
15/06/2020	NORWAY	MiFID	Criminal sanction	Norwegian Financial Supervisory Authority	JOOL MARKETS AS		12/06/2020
25/09/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	Budapest Alapkezelő Zártkörűen Működő Rt.		13/02/2014
16/02/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	STRATEGON Értékpapír Zártkörűen Működő Rt.		29/01/2014
15/05/2013	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	UniCredit Bank Hungary Zrt.		13/02/2014
16/02/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	STRATEGON Értékpapír Zártkörűen Működő Rt.		29/01/2014

26/03/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Raiffeisen Bank Zártkörűen Működő Részvénytársaság		29/01/2014
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
11/04/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	Sberbank Magyarország Zártkörűen Működő Részvénytársaság		29/01/2014
20/06/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	CEE Active Asset Management Zártkörűen Működő Rt.		29/01/2014
15/06/2012	HUNGARY	MiFID	Administrative sanction	Hungarian Financial Supervisory Authority (PSZAF)	CIB Bank Zrt.		13/02/2014
20/09/2013	HUNGARY	UCITS	Administrative sanction and measure	Hungarian Financial Supervisory Authority (PSZAF)	OTP Alapkezelő Zártkörűen Működő Részvénytársaság		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
11/05/2018	MALTA	MiFID	Administrative measure	Malta Financial Services Authority (MFSA)			04/07/2018
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

[illegible]

[illegible]

[illegible]

[illegible]

07/02/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/01/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/01/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
31/01/2012	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
07/02/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
12/01/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014
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
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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
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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
22/12/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			28/03/2018
20/10/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/10/2017
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
06/02/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			23/02/2018
25/09/2018	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			24/10/2018
18/10/2017	UNITED KINGDOM	EMIR	EMIR Penalty	Financial Conduct Authority (FCA)	Merrill Lynch International		07/09/2018
05/01/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
04/06/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
05/10/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	Zenith Financial Limited		04/03/2014
06/06/2013	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	ALL INVEST COMPANY LIMITED		04/03/2014
29/11/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	Zenith Financial Limited		04/03/2014
04/09/2013	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	ALL INVEST COMPANY LIMITED		04/03/2014
31/01/2012	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	BANK OF VALLETTA PLC		04/03/2014
30/05/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority	ELDAINVEST S.A.		06/02/2014



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[illegible]

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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
13/06/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			18/06/2018
23/09/2016	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)	UP & DOWN MARKETING LTD		03/10/2016
02/07/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			23/10/2018
21/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			25/02/2019
02/02/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			19/02/2018
19/10/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			05/02/2018
20/10/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			05/02/2018
02/05/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			23/01/2019
12/02/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			19/02/2018
31/01/2018	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			05/02/2018

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26/02/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			04/03/2019
20/10/2017	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			05/02/2018
02/05/2019	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Societa e la Borsa (CONSOB)			06/05/2019
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
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



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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

17/10/2018	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
08/12/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
28/11/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
17/10/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/02/2019
06/11/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/02/2019
17/10/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/02/2019
19/07/2018	GREECE	MiFID	Administrative measure	Hellenic Capital Market Commission (HCMC)			08/04/2019
15/05/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
19/07/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/10/2018
29/03/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
08/12/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			09/02/2018
30/05/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/10/2019
11/12/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/01/2020
10/01/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/01/2020
23/09/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/09/2019
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
08/10/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/10/2019
01/08/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/10/2019
15/02/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			08/04/2019
30/05/2019	GREECE	EMIR	EMIR Penalty	Hellenic Capital Market Commission (HCMC)			10/10/2019
27/05/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2020

27/05/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2020
27/05/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2020
27/05/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2020
27/05/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			04/06/2020
17/06/2020	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/06/2020
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
19/05/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/05/2021
15/04/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	BETA SECURITIES S.A.		10/02/2014
19/05/2021	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/05/2021
31/01/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		18/02/2014
29/08/2013	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		18/02/2014
19/01/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ATLAS SECURITIES S.A.		20/03/2015
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		02/06/2015
17/09/2015	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		23/09/2015
09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PRELIUM INVESTMENT SERVICES S.A.		10/09/2014
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	MERIT SECURITIES A.E.P.E.Y.		02/06/2015
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		02/06/2015
17/06/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	CRONOS FINANCIAL SERVICES S.A.		02/07/2014

21/01/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		11/04/2016
21/01/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EPIC S.A.		11/04/2016
31/03/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	PEGASUS SECURITIES S.A.		11/04/2016
12/10/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	G.A. PERVANAS SECURITIES AND INVESTMENT SERVICES COMPANY S.A.		30/10/2015
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EUROTRUST INVESTMENT SERVICES S.A.		02/06/2015
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ALPHA FINANCE INVESTMENT SERVICES S.A.		02/06/2015
17/09/2015	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	CRONOS FINANCIAL SERVICES S.A.		23/09/2015
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
09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		10/09/2014
18/05/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	TRIPLE A EXPERTS S.A.		23/09/2016
07/11/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	CFS SECURITIES & INVESTMENT SERVICES S.A.		23/11/2016
17/03/2021	LATVIA	UCITS	Administrative sanction and measure	Financial & Capital Market Commission (FKTK)	ABLV Asset Management		13/04/2021
10/10/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/02/2014
11/11/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/02/2014
05/12/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			13/02/2014
19/06/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/02/2014
22/05/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			28/05/2014
09/09/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			10/09/2014
04/03/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/03/2015
11/06/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/06/2015



15/10/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			23/10/2014
08/06/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			20/06/2017
13/01/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			17/01/2017
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

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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
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
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
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
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
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
15/12/2017	SPAIN	UCITS	Administrative sanction and measure	Comisión Nacional del Mercado de Valores (CNMV)	EUROAGENTES GESTION, S.A., S.G.I.I.C.	15/12/2022	12/03/2018
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
30/10/2017	SPAIN	MIFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LIVEMARKETS EAF, S.A.	30/10/2022	26/08/2019
30/10/2017	SPAIN	MIFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)	LIVEMARKETS EAF, S.A.	30/10/2022	26/08/2019
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
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
23/03/2021	SPAIN	MIFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		23/03/2026	16/07/2021



22/01/2021	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		22/01/2026	16/07/2021
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	23/07/2021
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
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
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
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
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
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
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
06/12/2019	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	CANDRIAM LUXEMBOURG	25/09/2025	13/10/2020
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

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
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
20/05/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015
23/06/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			04/08/2015
20/10/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			19/11/2015
16/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			20/05/2015
01/07/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/07/2015
12/03/2015	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			03/06/2015
26/05/2016	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
18/07/2016	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
12/01/2017	BULGARIA	MiFID	Administrative sanction	Financial Supervision Commission (FSC)			31/07/2017
26/07/2018	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	DEN-AM S.A.	21/09/2023	27/09/2018

05/11/2018	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	DAVY GLOBAL FUND MANAGEMENT LUXEMBOURG S.A.	28/12/2023	09/01/2019
15/09/2020	LUXEMBOURG	UCITS	Administrative sanction and measure	Commission de Surveillance du Secteur Financier (CSSF)	DUFF & PHELPS (LUXEMBOURG) MANAGEMENT COMPANY S.À R.L.	11/03/2026	16/03/2021
22/10/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	B & P Fund Services Aktiebolag		20/01/2015
05/12/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Investerum AB		05/12/2014
05/12/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)			05/12/2014
05/12/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)			05/12/2014
15/04/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Global Invest Finansförmedling Sverige 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
19/06/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Statkraft Financial Energy AB		26/02/2014
28/03/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Exceed Capital Sverige AB		26/02/2014
24/04/2017	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	FoF Asset Management i Norden AB		08/05/2017
26/06/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Skandiabanken Aktiebolag (publ)		03/07/2014
25/07/2013	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)			24/02/2014
04/02/2013	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)			24/02/2014
07/05/2012	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)			24/02/2014
06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Alexandria Pankkiiriliike Oyj		05/05/2017
06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Titanium Investment Services Ltd		05/05/2017
14/11/2014	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Privanet Capital Markets Ltd		16/12/2016
14/06/2012	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	UB Securities Ltd		22/06/2016
17/08/2018	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Aalto Bankers Ltd		09/11/2018
01/07/2020	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Privanet Capital Markets Ltd		09/09/2020

06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Helsinki Area Cooperative Bank		05/05/2017
06/03/2017	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Nordea Bank AB (publ), Finnish Branch		05/05/2017
09/04/2018	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Nordea Bank AB (publ), Finnish Branch		12/06/2018
02/01/2013	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Fondsmæglerselskabet StockRate Asset Management A/S		20/02/2014
26/06/2013	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Totalbanken A/S		20/02/2014
07/06/2012	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Jyske Bank A/S		20/02/2014
23/10/2013	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Danske Andelskassers Bank A/S		20/02/2014
18/02/2014	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Danske Bank A/S		20/02/2014
11/02/2014	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Nordea Bank Danmark A/S		20/02/2014
02/05/2014	DENMARK	MiFID	Administrative sanction	Finanstilsynet			11/05/2017
25/06/2012	DENMARK	MiFID	Administrative sanction	Finanstilsynet	Demetra Fondsmæglerselskab A/S		20/02/2014
11/10/2013	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Sparekassen Kronjylland		07/03/2014
29/08/2014	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Vestjysk Bank A/S		10/11/2014