

19/07/2018	GREECE	MiFID	Administrative sanction				20/02/2019
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
26/07/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
09/10/2018	ROMANIA	MiFID	Administrative sanction				10/12/2018
28/08/2020	MALTA	MiFID	Administrative sanction	MFSA	MPM CAPITAL INVESTMENTS LIMITED		13/11/2020
21/06/2017	ITALY	EMIR	EMIR Penalty	covip	fondo pensione		16/01/2019
05/08/2020	LUXEMBOURG	UCITS	Administrative sanction and measure		UNIVERSAL-INVESTMENT-LUXEMBOURG S.A.	18/01/2026	19/01/2021
23/03/2021	SPAIN	MiFID	Administrative sanction			23/03/2026	07/04/2021
06/07/2017	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	ABN Amro Bank N.V.		18/10/2017
02/12/2014	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	t Sorgh & Huis hodn Maesons		18/10/2017
20/01/2011	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	SNS Bank N.V.		18/10/2017
12/03/2015	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)			18/10/2017
12/03/2015	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	AGA International B.V.		18/10/2017
29/12/2016	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Loohuis, mr. E.E.M.P.		18/10/2017
16/03/2016	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Binck Bank		20/09/2017
19/05/2017	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Florentis Verzekeringen N.V.		24/10/2017
21/08/2017	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	Het Effectenhuus Commissionairs B.V.		04/10/2017
19/09/2015	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	E2MA Consumer Profiling B.V.		18/10/2017
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 Effectenhuus		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
17/07/2012	NETHERLANDS	MiFID	Administrative sanction	Netherlands Authority for the Financial Markets (AFM)	ABR Financial B.V.		24/10/2017
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
25/09/2019	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Natixis Asset Management Finance	25/09/2024	18/10/2019
06/12/2018	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	Exane derivatives	06/12/2023	31/07/2019
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
21/06/2016	FRANCE	MiFID	Administrative sanction	Autorité des Marchés Financiers (AMF)	La Banque Postale	21/06/2021	24/06/2016
13/12/2017	FRANCE	UCITS	Administrative sanction and measure	Autorité des Marchés Financiers (AMF)	TRECENTO AM	13/12/2022	26/01/2018
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

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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 Piguët 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 <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

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22/12/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Safe IG		05/01/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Triton Capital Markets		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Quantums Trade		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	CFD Advanced		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Northstate		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Acceptrade		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Capitalfx		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Westmark		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Ironex		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Cinda Securities		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	My Coin Elite		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Topdigitalcoin		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Galore Pro		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Antarigroup		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Finvesting		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	OmegaPro		19/05/2021

04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Primecap		19/05/2021
04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Finexro		19/05/2021
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Royston Carr Asset Management		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Hana Shizuoka Trading		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Aaron Brett		22/11/2018
12/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	365 Markets (Trustnet LTD)		21/02/2019
11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Shinsei Securities		21/11/2018
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Morgan Newfield		21/11/2018
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	MetalInvesting		21/11/2018
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Goprofinance		21/11/2018
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BeCFD		21/11/2018
12/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	FXG Trade (Capital FXG Ltd / Nordic Pearl Ltd)		21/02/2019
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Mizuho DKB Brokerage/SDD International		21/11/2018
06/03/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Lambert & Sons Incorporated		21/11/2018
11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Yamaguchi Laurentian Securities		21/11/2018
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Blonde bear / TradeDax		21/11/2018

11/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Sumitomo Gunma Holdings		21/11/2018
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Akita Matsui trading		21/11/2018
09/07/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Sky Marketing		21/11/2018
04/09/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Spot2Trade		21/11/2018
12/02/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	CFDS100 (TRSYSTEM Ltd)		21/02/2019
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Nanto Sapporo Brokerage		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Saga Nagoya Securities		22/11/2018
23/10/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	TSB Wealth		22/11/2018
27/12/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Ashcroft Cohen Strategic Capital - ACSC		13/03/2019
27/12/2018	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Asia Associates		13/03/2019
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
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/Meridia n 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.co m		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
28/05/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Proud-Market.com		24/06/2019
09/07/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Go Capital FX (Go Capital 123 - Lancelot Equity Ltd.)		11/07/2019
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Larkin Asset Management ( <a href="http://www.larkinassetmanagement.com">http://www.larkinassetmanagement.com</a> )		08/04/2020
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Compass Consulting Group ( <a href="http://www.compassconsultinggroup.co.uk/">http://www.compassconsultinggroup.co.uk/</a> )		08/04/2020
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Sapone Trading ( <a href="http://www.saponetrading.com/">http://www.saponetrading.com/</a> )		08/04/2020
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	J McKenzie ( <a href="http://www.jmmckenzie.com/">http://www.jmmckenzie.com/</a> )		08/04/2020
05/11/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	www.first-matching.com		03/12/2019
04/06/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Molineaux Investment		08/07/2019
03/02/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	INTRGROUP		18/02/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Titan Pro 500		08/04/2020
31/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BTC-trading24		08/04/2020
17/03/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	McKenzie International Investments ( <a href="https://mckenzieinternationalinvestments.com/">https://mckenzieinternationalinvestments.com/</a> )		08/04/2020
17/12/2019	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Trade Idea		23/12/2019

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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
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
14/01/2013	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	METROPOL (CYPRUS) LIMITED		27/02/2014
19/12/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	BDSWISS HOLDING PLC		26/02/2018
18/01/2016	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	BANC DE BINARY LTD		06/03/2018
12/10/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	RODELER LIMITED		27/02/2018
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
12/10/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	DEPAHO LTD		27/02/2018
23/01/2017	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	Prior Capital Cy Ltd		26/02/2018
21/09/2015	CYPRUS	MiFID	Administrative sanction	Cyprus Securities and Exchange Commission (CySEC)	WGM Services Ltd		27/02/2018
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	United Markets Capital		17/06/2020
09/06/2020	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	General Trade		17/06/2020



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
08/03/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	BitStarMarkets		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



04/05/2021	BELGIUM	MiFID	Administrative measure	Financial Services and Markets Authority (FSMA)	Horizon Invest		19/05/2021
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
17/10/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Amundi Austria GmbH		10/01/2020
28/08/2018	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Amundi Austria GmbH	29/08/2023	24/10/2018
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
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
10/11/2020	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Oberbank AG	10/11/2025	24/11/2020
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
04/01/2021	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Bank Gutmann Aktiengesellschaft	04/01/2026	11/01/2021
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
22/03/2019	AUSTRIA	UCITS	Administrative sanction and measure	Austrian Financial Market Authority (FMA)	Erste Asset Management GmbH	27/03/2024	09/04/2019
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
30/03/2017	AUSTRIA	MiFID	Administrative sanction	Austrian Financial Market Authority (FMA)	Schoellerbank Aktiengesellschaft	30/07/2023	24/10/2018

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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
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
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
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



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[illegible]

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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





05/11/2014	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	COSMIC FINANCIAL SERVICES (MALTA) LIMITED		05/11/2014
08/03/2016	MALTA	MiFID	Administrative sanction	Malta Financial Services Authority (MFSA)	FX-CAM Consulting and Advertisement Ltd		03/04/2017
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
15/06/2020	NORWAY	MiFID	Criminal sanction	Norwegian Financial Supervisory Authority	JOOL MARKETS AS		12/06/2020
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
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
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
22/08/2012	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			06/02/2014

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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
22/12/2017	ROMANIA	MiFID	Administrative sanction	Romanian Financial Supervisory Authority			28/03/2018

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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
23/04/2018	HUNGARY	MAR	Administrative measure	Central Bank of Hungary	Magyar Takarékszövetkezeti Bank Zártkörűen Működő Részvénytársaság		04/07/2018
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
01/12/2015	IRELAND	MiFID	Administrative sanction	Central Bank of Ireland (CBI)	DMS Market Access Limited		14/12/2015

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28/01/2016	ITALY	MiFID	Administrative sanction	Commissione Nazionale per le Società e la Borsa (CONSOB)			01/02/2016
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

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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
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
03/07/2017	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	CYCLOS SECURITIES S.A.		07/11/2017
21/01/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EPIC S.A.		11/04/2016
31/01/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		18/02/2014
17/06/2014	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	CRONOS FINANCIAL SERVICES S.A.		02/07/2014
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		02/06/2015
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	MERIT SECURITIES A.E.P.E.Y.		02/06/2015
15/04/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	GUARDIAN TRUST SECURITIES S.A.		18/02/2014
27/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	MIDAS FINANCIAL SECURITIES S.A.		15/11/2016

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
29/08/2013	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	ARDU PRIME S.A.		18/02/2014
03/06/2013	GREECE	UCITS	Administrative sanction and measure	Hellenic Capital Market Commission (HCMC)	THETIS MUTUAL FUND MANAGEMENT COMPANY S.A.		18/02/2014
26/05/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ALPHA FINANCE INVESTMENT SERVICES S.A.		02/06/2015
18/05/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	TRIPLE A EXPERTS S.A.		23/09/2016
01/08/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	TRIPLE A EXPERTS S.A.		18/02/2014
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
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
27/10/2016	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	NATIONAL SECURITIES S.A.		15/11/2016
17/09/2015	GREECE	MAD	Not requested by ESMA when submitted	Hellenic Capital Market Commission (HCMC)	SOLIDUS SECURITIES S.A.		23/09/2015
19/06/2013	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	EUROCORP INVESTMENT SERVICES S.A.		18/02/2014
19/01/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	STAVROS EMM. LAVRENTAKIS SECURITIES S.A.		28/01/2015
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
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
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
28/11/2017	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
26/01/2018	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			24/10/2018
11/12/2019	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)			15/01/2020
19/01/2015	GREECE	MiFID	Administrative sanction	Hellenic Capital Market Commission (HCMC)	ATLAS SECURITIES S.A.		20/03/2015

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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
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
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
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
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
22/01/2021	SPAIN	MiFID	Administrative sanction	Comisión Nacional del Mercado de Valores (CNMV)		22/01/2026	08/02/2021
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

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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
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
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
22/10/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	B & P Fund Services Aktiebolag		20/01/2015
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

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
24/04/2017	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	FoF Asset Management i Norden AB		08/05/2017
28/03/2013	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Exceed Capital Sverige AB		26/02/2014
26/06/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Skandiabanken Aktiebolag (publ)		03/07/2014
05/12/2014	SWEDEN	MiFID	Administrative sanction	Finansinspektionen (FI)	Investerum AB		05/12/2014
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)	Helsinki Area Cooperative Bank		05/05/2017
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
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
01/07/2020	FINLAND	MiFID	Administrative sanction	Finanssivalvonta (FSA)	Privanet Capital Markets Ltd		09/09/2020
11/10/2013	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Sparekassen Kronjylland		07/03/2014
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
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
29/08/2014	DENMARK	MAD	Not requested by ESMA when submitted	Finanstilsynet	Vestjysk Bank A/S		10/11/2014