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| 29/06/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | ML-Capital (www.ml-capital.fr) | | 12/07/2021 |
| 29/06/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | La Franco-Suédoise d'investissement (www.franco-suedeoise-investissement.fr) | | 12/07/2021 |
| 25/06/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 29/06/2021 |
| 04/06/2021 | AUSTRIA | MiFID | Administrative sanction | Austrian Financial Market Authority (FMA) | BNP Paribas | 09/06/2026 | 28/06/2021 |
| 04/06/2021 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | ARKEA DIRECT BANK | 04/06/2026 | 15/07/2021 |
| 19/05/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/05/2021 |
| 19/05/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/05/2021 |
| 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) | Ironefx | | 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 |

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| 20/04/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | EMW Capital | | 12/07/2021 |
| 20/04/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Daltium | | 12/07/2021 |
| 12/04/2021 | FRANCE | UCITS | Administrative sanction and measure | Autorité des Marchés Financiers (AMF) | EFIGEST ASSET MANAGEMENT | 12/04/2026 | 05/05/2021 |
| 30/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Private-Union | | 09/04/2021 |
| 23/03/2021 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 23/03/2026 | 16/07/2021 |
| 17/03/2021 | LATVIA | UCITS | Administrative sanction and measure | Financial & Capital Market Commission (FKTK) | ABLV Asset Management | | 13/04/2021 |
| 10/03/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 30/03/2021 |
| 10/03/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 30/03/2021 |
| 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 |
| 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 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Tradezmarket | | 30/03/2021 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Capitalfx | | 30/03/2021 |

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| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | XTRgate | | 30/03/2021 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Global Alliance | | 30/03/2021 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | QuantBitex | | 30/03/2021 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | UnixBroker | | 30/03/2021 |
| 08/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Mynetcoin | | 30/03/2021 |
| 02/03/2021 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Antares Limited | | 30/03/2021 |
| 01/03/2021 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | TRADITA | 01/03/2026 | 11/03/2021 |
| 23/02/2021 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 23/02/2026 | 10/03/2021 |
| 27/01/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 29/01/2021 |
| 27/01/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 29/01/2021 |
| 22/01/2021 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 22/01/2026 | 16/07/2021 |
| 18/01/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 29/01/2021 |
| 18/01/2021 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 29/01/2021 |
| 04/01/2021 | AUSTRIA | MiFID | Administrative sanction | Austrian Financial Market Authority (FMA) | Bank Gutmann Aktiengesellschaft | 04/01/2026 | 11/01/2021 |
| 23/12/2020 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | QUINTET ASSET MANAGEMENT, SGIIC, S.A. | 23/12/2025 | 22/01/2021 |
| 23/12/2020 | 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 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Financial Reserve Capital Management | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | BitCapitals | | 05/01/2021 |

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| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Global CTB | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Bubblext | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | GCG International | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Brokerunity | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | FDI Funds | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | GFX Royal | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Cryptenix | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Migotrade | | 05/01/2021 |
| 22/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Safe IG | | 05/01/2021 |
| 18/12/2020 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | Digne Conseils & Gestion | 18/12/2025 | 31/12/2020 |
| 18/12/2020 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | Erste Asset Management GmbH | 25/05/2026 | 25/06/2021 |
| 15/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Brookfield Investment fund plc (https://brookfieldinvestmentfundsplc.net) | | 21/12/2020 |
| 15/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Asse-Groupe (www.asse-groupe.com) | | 21/12/2020 |
| 15/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | PATRIMOINE CONNECT (HTTPS://4GSTE3-12QXT9901MND.COM) | | 21/12/2020 |
| 15/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Vuelex (www.vuelex.com) | | 21/12/2020 |
| 15/12/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | CREATE CAPITAL INVEST (WWW.CREATECAPITALINVEST.COM) | | 21/12/2020 |
| 09/12/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | SPB Befektetési Zrt. | | 13/05/2021 |

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| 08/12/2020 | GERMANY | MiFID | Administrative sanction | Federal Financial Supervisory Authority (BaFin) | | | 15/03/2021 |
| 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 |
| 30/11/2020 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | Amundi Austria GmbH | 04/01/2026 | 09/02/2021 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | 365capitalmarkets | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | OnlineMarketShare | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Bright Finance | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | MyCoinBanking | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Profits Trade | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Markets Pilot | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | MottoFX | | 25/11/2020 |
| 17/11/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | OTPFX | | 25/11/2020 |
| 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 |
| 11/11/2020 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 11/11/2025 | 10/03/2021 |
| 10/11/2020 | AUSTRIA | MiFID | Administrative sanction | Austrian Financial Market Authority (FMA) | Oberbank AG | 10/11/2025 | 24/11/2020 |

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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 |
| 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 |
| 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 |
| 15/09/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Inertactive Trade | | 05/10/2020 |
| 15/09/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | CMarketsGroup | | 05/10/2020 |
| 15/09/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | WinnGroup | | 05/10/2020 |
| 15/09/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Akita Michinoku Company | | 05/10/2020 |
| 15/09/2020 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | DUFF & PHELPS (LUXEMBOURG) MANAGEMENT COMPANY S.À R.L. | 11/03/2026 | 16/03/2021 |
| 01/09/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Carlyle Capital Management | | 05/10/2020 |

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| 26/06/2020 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | CERES FINANCE | 26/06/2025 | 18/08/2020 |
| 23/06/2020 | SPAIN | MAR | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A. | 23/06/2025 | 21/09/2020 |
| 22/06/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | Concorde Értékpapír Zrt. | | 13/05/2021 |
| 22/06/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | UniCredit Bank Hungary Zrt. | | 13/05/2021 |
| 22/06/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | MTB Magyar Takarékszövetkezeti Bank Zrt. | | 13/05/2021 |
| 17/06/2020 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/06/2020 |
| 15/06/2020 | NORWAY | MiFID | Criminal sanction | Norwegian Financial Supervisory Authority | JOOL MARKETS AS | | 12/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | ACTIO-CONSEIL (ANCIENNEMENT WWW.ENERGIE-DMA-ACCESS.COM ET HTTPS://ACTIO-CONSEIL.COM/) | | 07/07/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | LionsFM | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Tan Allen Piguet 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 |
| 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 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Summit Trade | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Parker Prime | | 17/06/2020 |

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| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Nava Gates | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | GoldenCFD | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Finantik | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | GiroFX | | 17/06/2020 |
| 09/06/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | HTTPS://WWW.MAZDA-INT.COM/ | | 07/07/2020 |
| 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 |
| 27/05/2020 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 04/06/2020 |
| 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 |
| 19/05/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | Raiffeisen Bank Zrt. | | 13/05/2021 |
| 11/05/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | BUDAPEST Hitel- és Fejlesztési Bank Zrt. | | 13/05/2021 |
| 21/04/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.marketsx.fr | | 06/05/2020 |
| 20/04/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | eBrókerház Befektetési Szolgáltató Zrt. | | 13/05/2021 |
| 07/04/2020 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | Vertis Környezetvédelmi Pénzügyi Zártkörűen Működő Részvénytársaság | | 13/05/2021 |
| 02/04/2020 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | CREDITO LOMBARDO VENETO S.P.A. | | 13/04/2020 |
| 31/03/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Bitcoin-Evolution / Bitcoin-Revolution | | 08/04/2020 |

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| 03/02/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | AllTradeMarkets | | 18/02/2020 |
| 03/02/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Expert Base27 | | 18/02/2020 |
| 03/02/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Duxa Capital | | 18/02/2020 |
| 03/02/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | INTRGROUP | | 18/02/2020 |
| 03/02/2020 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Bormancorp | | 18/02/2020 |
| 24/01/2020 | FRANCE | EMIR | EMIR Penalty | Autorité des Marchés Financiers (AMF) | BRED - Banque populaire | 24/01/2025 | 04/03/2020 |
| 17/01/2020 | LUXEMBOURG | EMIR | EMIR Penalty | Commission de Surveillance du Secteur Financier (CSSF) | EDMOND DE ROTHSCHILD ASSET MANAGEMENT (LUXEMBOURG) | 16/09/2025 | 09/10/2020 |
| 15/01/2020 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | NATIXIS INVESTMENT MANAGERS S.A. | 24/09/2025 | 13/10/2020 |
| 10/01/2020 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/01/2020 |
| 23/12/2019 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | HUDEX Energiatőzsde Zrt. | | 20/07/2020 |
| 20/12/2019 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | GSD GESTION | 20/12/2025 | 18/08/2020 |
| 17/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Beflix | | 23/12/2019 |
| 17/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | OmegaFX | | 23/12/2019 |
| 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 |
| 17/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Trade Idea | | 23/12/2019 |
| 17/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | CFReserve | | 23/12/2019 |

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| 13/12/2019 | SLOVAKIA | MiFID | Administrative sanction | National Bank of Slovakia (NBS) | Arca Brokerage House o.c.p., a.s. | | 05/02/2020 |
| 11/12/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/01/2020 |
| 11/12/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/01/2020 |
| 10/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.dif-patrimoine.com | | 23/12/2019 |
| 10/12/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.act-financial-solutions.com | | 23/12/2019 |
| 09/12/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | BANCA NAZIONALE DEL LAVORO S.P.A. | | 16/12/2019 |
| 06/12/2019 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | CANDRIAM LUXEMBOURG | 25/09/2025 | 13/10/2020 |
| 03/12/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Alior Bank S.A. | | 06/03/2020 |
| 19/11/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Dom Maklerski Bank Ochrony Środowiska S.A. | | 05/03/2020 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Lextin Capital / Green Wire Capital (http://lextincapital.com / - semble à présent inactif - et www.greenwirecapital.com) | | 13/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Unique Global Investment (https://ugi.direct/ - semble à présent inactif) | | 13/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Blue Hill Capitals (pas de site web, « cloned firm » de www.bluehillscapital.com) | | 13/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.helvea-ltd.com | | 03/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Structured Strategic Capital (www.structuredstrategiccapital.com/) | | 13/12/2019 |

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| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Oita Sumitomo Corporate (www.oscinternational.com/) | | 13/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | SBAV Group (www.sbagroup.com/) | | 13/12/2019 |
| 12/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Morgan Cowen Capital Markets (www.morgan-cowen.com/) | | 13/12/2019 |
| 05/11/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.first-matching.com | | 03/12/2019 |
| 04/11/2019 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | HANSAINVEST LUX S.A. | 16/01/2025 | 13/10/2020 |
| 04/11/2019 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | AXXION S.A. | 16/01/2025 | 13/10/2020 |
| 04/11/2019 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | MKB Bank Zrt. | | 06/05/2020 |
| 22/10/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Marketcapital | | 25/10/2019 |
| 22/10/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Trendinggraphs (Premium Systems) | | 25/10/2019 |
| 22/10/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Capital Pilots | | 25/10/2019 |
| 22/10/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Stock global | | 25/10/2019 |
| 17/10/2019 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | Amundi Austria GmbH | 05/11/2024 | 09/06/2021 |
| 15/10/2019 | HUNGARY | MiFID | Administrative measure | Central Bank of Hungary | Commerzbank Zártkörűen Működő Részvénytársaság | | 20/07/2020 |
| 11/10/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 14/10/2019 |
| 09/10/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 14/10/2019 |
| 08/10/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/10/2019 |
| 30/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.index-capital.be | | 02/10/2019 |

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| 30/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | www.choices-invest.com | | 02/10/2019 |
| 30/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Kuvera Global LLC | | 10/10/2019 |
| 25/09/2019 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | Natixis Asset Management Finance | 25/09/2024 | 18/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Dream Equity (InvestingCapital) | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | FlixGM (Altridium Group) | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Tradershome | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Key Markets | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Kodimax | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Investteck | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Globalmarkets | | 04/10/2019 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Masonford | | 04/10/2019 |
| 24/09/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 24/02/2020 |
| 24/09/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Infinitrade | | 04/10/2019 |
| 23/09/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/09/2019 |
| 30/08/2019 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | EQUILOR Befektetési Zártkörűen Működő Részvénytársaság | | 06/05/2020 |
| 06/08/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Alior Bank S.A. | | 11/10/2019 |
| 01/08/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/10/2019 |

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| 31/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | WORLDWIDE SAFE INVESTMENT LIMITED | | 24/06/2019 |
| 30/05/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/10/2019 |
| 30/05/2019 | GREECE | EMIR | EMIR Penalty | Hellenic Capital Market Commission (HCMC) | | | 10/10/2019 |
| 29/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 24/06/2019 |
| 29/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | BANCA CONSULIA SPA | | 24/06/2019 |
| 29/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | BANCA CONSULIA SPA | | 17/07/2019 |
| 29/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 24/06/2019 |
| 28/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Echler Solomon Feng | | 24/06/2019 |
| 28/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Global Alliance Capital | | 24/06/2019 |
| 28/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Jonarnstein | | 24/06/2019 |
| 28/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Sheridan Wells Advisors | | 24/06/2019 |
| 28/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Elizabeth Lenz | | 24/06/2019 |
| 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 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | OMCMarkets | | 24/06/2019 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Marketscube | | 24/06/2019 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Swissmain.com/Meridian Banc Ltd. | | 24/06/2019 |

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| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Littinvest | | 24/06/2019 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | SSS Services | | 24/06/2019 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | PlusOption | | 24/06/2019 |
| 21/05/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Hope Area | | 24/06/2019 |
| 20/05/2019 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | HEDIOS PATRIMOINE | 20/05/2024 | 01/08/2019 |
| 16/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 24/06/2019 |
| 16/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 24/06/2019 |
| 14/05/2019 | LITHUANIA | MiFID | Administrative measure | Bank of Lithuania (LSC) | Asset Management Company "INVL Asset Management" | | 24/06/2019 |
| 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 |
| 07/05/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 08/05/2019 |
| 03/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 20/05/2019 |
| 02/05/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 06/05/2019 |
| 29/04/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 06/05/2019 |
| 18/04/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 19/04/2019 |
| 18/04/2019 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 19/04/2019 |
| 15/04/2019 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | IQ OPTION EUROPE LTD | | 24/06/2019 |
| 10/04/2019 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | MASTERINVEST Kapitalanlage GmbH | 15/04/2024 | 30/04/2019 |

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| 08/04/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 15/04/2019 |
| 29/03/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 08/04/2019 |
| 28/03/2019 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 06/04/2019 |
| 26/03/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 10/10/2019 |
| 26/03/2019 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 10/10/2019 |
| 25/03/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 06/04/2019 |
| 22/03/2019 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | Erste Asset Management GmbH | 27/03/2024 | 09/04/2019 |
| 19/03/2019 | UNITED KINGDOM | MiFID | Administrative sanction | Financial Conduct Authority (FCA) | UBS Limited | | 21/03/2019 |
| 18/03/2019 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | GVC GAESCO VALORES S.V., S.A. | 18/03/2024 | 24/06/2019 |
| 05/03/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | ADEMAF SA | | 11/03/2019 |
| 28/02/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/03/2019 |
| 26/02/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | GBE-Capital (www.gbe-capital.com) | | 19/03/2019 |
| 26/02/2019 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | JT-Europe (www.jt-europe.com) | | 19/03/2019 |
| 26/02/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/03/2019 |
| 26/02/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | BANCA POPOLARE VALCONCA - SOCIETA' PER AZIONI | | 04/03/2019 |
| 25/02/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | BANCA POPOLARE SANT'ANGELO S.C.P.A. | | 24/06/2019 |
| 25/02/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/03/2019 |

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| 24/01/2019 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 28/01/2019 |
| 15/01/2019 | 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 |
| 14/01/2019 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/01/2019 |
| 14/01/2019 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 22/01/2019 |
| 14/01/2019 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/01/2019 |
| 14/01/2019 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/01/2019 |
| 28/12/2018 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | AMADEIS | 28/12/2023 | 31/07/2019 |
| 27/12/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Resona Dai-Ichi Group | | 13/03/2019 |
| 27/12/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | IBG Capital Partners / Index Financial Group / State Bridge Partners | | 13/03/2019 |
| 27/12/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | KLMholdings | | 13/03/2019 |
| 27/12/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Cobalt Capital Inc | | 13/03/2019 |
| 27/12/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Warrington Shaw | | 13/03/2019 |
| 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 |
| 18/12/2018 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Mercurius Dom Maklerski Sp. z o.o. | | 09/10/2019 |
| 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 sanction | Romanian Financial Supervisory Authority | | | 21/12/2018 |

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| 17/12/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 21/12/2018 |
| 06/12/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 13/12/2018 |
| 06/12/2018 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | Exane derivatives | 06/12/2023 | 31/07/2019 |
| 04/12/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 13/12/2018 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 15/11/2023 | 21/02/2019 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 15/11/2023 | 21/02/2019 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | AHORRO CORPORACION FINANCIERA, S.V., S.A. | 15/11/2023 | 20/02/2019 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | ACTIVOTRADE VALORES, AGENCIA DE VALORES, SOCIEDAD ANÓNIMA | 15/11/2023 | 20/02/2019 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | ACTIVOTRADE VALORES, AGENCIA DE VALORES, SOCIEDAD ANÓNIMA | 15/11/2023 | 20/02/2019 |
| 15/11/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | AHORRO CORPORACION FINANCIERA, S.V., S.A. | 15/11/2023 | 20/02/2019 |
| 08/11/2018 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Polski Dom Maklerski S.A. | | 09/10/2019 |
| 06/11/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/02/2019 |
| 06/11/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 12/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |

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| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 21/11/2018 |
| 05/11/2018 | LUXEMBOURG | UCITS | Administrative sanction and measure | Commission de Surveillance du Secteur Financier (CSSF) | DAVY GLOBAL FUND MANAGEMENT LUXEMBOURG S.A. | 28/12/2023 | 09/01/2019 |
| 29/10/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 12/11/2018 |
| 24/10/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | CONSULTINVEST INVESTIMENTI S.P.A. SOCIETA' DI INTERMEDIAZIONE MOBILIARE ABBREVIABILE IN: CONSULTINVEST INVESTIMENTI - S.I.M. S.P.A. | | 12/11/2018 |
| 23/10/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Daiju Commodity Markets | | 22/11/2018 |
| 23/10/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Reed Cavendish Wealth Management | | 22/11/2018 |
| 23/10/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Wainwright Marks Management | | 22/11/2018 |
| 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 |
| 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 |

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| 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 |
| 17/10/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/02/2019 |
| 17/10/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 17/10/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 17/10/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/02/2019 |
| 17/10/2018 | 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 |
| 15/10/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | MERCADOS Y GESTION DE VALORES, AGENCIA DE VALORES, S.A. | 15/10/2023 | 11/01/2019 |
| 09/10/2018 | ROMANIA | MiFID | Administrative sanction | | | | 10/12/2018 |
| 09/10/2018 | SPAIN | MAD | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LINK SECURITIES, SOCIEDAD DE VALORES, S.A. | 09/10/2023 | 11/01/2019 |
| 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 |
| 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 |
| 02/10/2018 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 15/01/2019 |
| 27/09/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 23/10/2018 |
| 25/09/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 24/10/2018 |
| 25/09/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 24/10/2018 |
| 25/09/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 24/10/2018 |

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| 18/09/2018 | POLAND | MiFID | Administrative measure | Polish Financial Supervisory Authority (KNF) | Alior Bank S.A. | | 09/10/2019 |
| 18/09/2018 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | X-Trade Brokers S.A. | | 09/10/2019 |
| 18/09/2018 | AUSTRIA | MiFID | Administrative sanction | Austrian Financial Market Authority (FMA) | Raiffeisenlandesbank Vorarlberg Waren- und Revisionsverband registrierte Genossenschaft mit beschränkter Haftung | 09/05/2024 | 09/06/2021 |
| 18/09/2018 | AUSTRIA | MiFID | Administrative sanction | Austrian Financial Market Authority (FMA) | Raiffeisenlandesbank Burgenland und Revisionsverband eGen | 09/05/2024 | 09/06/2021 |
| 17/09/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 24/10/2018 |
| 17/09/2018 | ROMANIA | MiFID | Administrative measure | Romanian Financial Supervisory Authority | | | 24/10/2018 |
| 14/09/2018 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | NHB Növekedési Hitel Bank Zártkörűen Működő Részvénytársaság | | 24/06/2019 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Kangyo Yokohama Securities | | 21/11/2018 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Asahi Marusan Management | | 21/11/2018 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Shinsei Securities | | 21/11/2018 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Yamaguchi Laurentian Securities | | 21/11/2018 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Sumitomo Gunma Holdings | | 21/11/2018 |
| 11/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Cruzinvest.uk - Publicprivatebank.com | | 21/11/2018 |
| 10/09/2018 | SLOVAKIA | MiFID | Administrative sanction | National Bank of Slovakia (NBS) | VALOR, o.c.p., a.s. | | 23/10/2018 |
| 04/09/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Day Dream Investments Ltd (Utrader) | | 21/11/2018 |
| 04/09/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 23/10/2018 |

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| 02/07/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 23/10/2018 |
| 28/06/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/11/2018 |
| 28/06/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/11/2018 |
| 28/06/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/11/2018 |
| 28/06/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/11/2018 |
| 28/06/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/11/2018 |
| 25/06/2018 | FRANCE | MiFID | Administrative sanction | BANCA D'ITALIA | IG markets limited | 25/06/2023 | 17/08/2018 |
| 15/06/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 25/06/2018 |
| 13/06/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 18/06/2018 |
| 06/06/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 18/06/2018 |
| 04/06/2018 | SPAIN | MAD | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LINK SECURITIES, SOCIEDAD DE VALORES, S.A. | 04/06/2023 | 10/07/2018 |
| 01/06/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 01/06/2023 | 10/07/2018 |
| 29/05/2018 | AUSTRIA | UCITS | Administrative sanction and measure | Austrian Financial Market Authority (FMA) | Spängler IQAM Invest GmbH | 02/07/2023 | 24/10/2018 |
| 29/05/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/06/2018 |
| 18/05/2018 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | Time Asset Management S.A. | | 09/10/2019 |
| 16/05/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 21/05/2018 |
| 15/05/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 11/05/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | CHESHIRE CAPITAL LTD | | 21/05/2018 |
| 11/05/2018 | MALTA | MiFID | Administrative measure | Malta Financial Services Authority (MFSA) | | | 04/07/2018 |

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|------------|---------|-------|-------------------------------------|--|--|------------|------------|
| 09/05/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 21/05/2018 |
| 02/05/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 23/01/2019 |
| 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 |
| 24/04/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/09/2018 |
| 23/04/2018 | HUNGARY | MAR | Administrative measure | Central Bank of Hungary | Magyar Takarékszövetkezeti Bank Zártkörűen Működő Részvénytársaság | | 04/07/2018 |
| 19/04/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 25/04/2018 |
| 13/04/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/05/2018 |
| 13/04/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/05/2018 |
| 09/04/2018 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | Nordea Bank AB (publ), Finnish Branch | | 12/06/2018 |
| 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 |
| 05/04/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/05/2018 |
| 29/03/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 28/03/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/05/2018 |
| 27/03/2018 | IRELAND | MiFID | Administrative sanction | Central Bank of Ireland (CBI) | Bastow Charleton | | 03/04/2018 |
| 19/03/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/05/2018 |
| 14/03/2018 | SPAIN | MAD | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A. | 14/03/2023 | 21/10/2019 |

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| 13/03/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A. | 13/03/2023 | 16/04/2018 |
| 13/03/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | GESTION DE PATRIMONIOS MOBILIARIOS, SOCIEDAD DE VALORES, S.A. | 13/03/2023 | 16/04/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Meadows Financial | | 21/11/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Loeb-Benson | | 21/11/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Schalom and Gerson / SG Finance | | 21/11/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Hollis Kookmin Financial | | 21/11/2018 |
| 06/03/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/09/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Lambert & Sons Incorporated | | 21/11/2018 |
| 06/03/2018 | BELGIUM | MiFID | Administrative measure | Financial Services and Markets Authority (FSMA) | Burton Mills | | 21/11/2018 |
| 02/03/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 16/03/2018 |
| 02/03/2018 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 16/03/2018 |
| 01/03/2018 | HUNGARY | MiFID | Administrative measure | Central Bank of Hungary | CIB Bank Zrt. | | 04/07/2018 |
| 21/02/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/09/2018 |
| 21/02/2018 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/09/2018 |
| 19/02/2018 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 26/02/2018 |
| 13/02/2018 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 13/02/2023 | 14/02/2020 |
| 13/02/2018 | SPAIN | MAD | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A. | 13/02/2023 | 02/12/2019 |

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|------------|---------|-------|-------------------------------------|--|--|------------|------------|
| 15/12/2017 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | EUROAGENTES GESTION, S.A., S.G.I.I.C. | 15/12/2022 | 12/03/2018 |
| 15/12/2017 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | EUROAGENTES GESTION, S.A., S.G.I.I.C. | 15/12/2022 | 12/03/2018 |
| 15/12/2017 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | EUROAGENTES GESTION, S.A., S.G.I.I.C. | 15/12/2022 | 12/03/2018 |
| 14/12/2017 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | Kepler Cheuvreux | 14/12/2022 | 26/01/2018 |
| 13/12/2017 | FRANCE | UCITS | Administrative sanction and measure | Autorité des Marchés Financiers (AMF) | TRECENTO AM | 13/12/2022 | 26/01/2018 |
| 08/12/2017 | 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 |
| 05/12/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/02/2018 |
| 29/11/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 29/11/2022 | 16/12/2020 |
| 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 |
| 28/11/2017 | HUNGARY | UCITS | Administrative sanction and measure | Central Bank of Hungary | DIVINUS Befektetési Alapkezelő Zártkörűen Működő Rt. | | 14/03/2018 |
| 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 |
| 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 |
| 13/11/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |
| 13/11/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | ICFD LTD | | 26/02/2018 |

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| 02/11/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/02/2018 |
| 02/11/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/02/2018 |
| 31/10/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/02/2018 |
| 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 |
| 31/10/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 31/10/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/02/2018 |
| 31/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 31/10/2022 | 16/12/2020 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | JULIUS BAER AGENCIA DE VALORES, S.A. | 30/10/2022 | 22/11/2017 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LIVEMARKETS EAF, S.A. | 30/10/2022 | 26/08/2019 |
| 30/10/2017 | SPAIN | MAD | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | MERCADOS Y GESTION DE VALORES, AGENCIA DE VALORES, S.A. | 30/10/2022 | 23/08/2019 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 30/10/2022 | 20/12/2017 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LIVEMARKETS EAF, S.A. | 30/10/2022 | 26/08/2019 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A. | 30/10/2022 | 20/11/2017 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LIVEMARKETS EAF, S.A. | 30/10/2022 | 26/08/2019 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | LIVEMARKETS EAF, S.A. | 30/10/2022 | 26/08/2019 |
| 30/10/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | AURIGA GLOBAL INVESTORS SOCIEDAD DE VALORES, S.A. | 30/10/2022 | 20/11/2017 |

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|------------|---------|-------|-------------------------------------|--|---|--|------------|
| 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 |
| 05/10/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 09/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 04/10/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 23/10/2017 |
| 25/09/2017 | HUNGARY | UCITS | Administrative sanction and measure | Central Bank of Hungary | Accorde Befektetési Alapkezelő Zártkörűen Működő Részvénytársaság | | 21/02/2018 |
| 22/09/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 25/09/2017 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 24/10/2018 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/02/2018 |
| 18/09/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 27/02/2018 |
| 15/09/2017 | NORWAY | MiFID | Administrative sanction | Norwegian Financial Supervisory Authority | NORDIC SECURITIES AS | | 10/04/2018 |

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|------------|-------------|-------|-------------------------|--|--|--|------------|
| 06/09/2017 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | STRATEGON Értékpapír Zártkörűen Működő Rt. | | 14/03/2018 |
| 01/09/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 03/10/2017 |
| 01/09/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 03/10/2017 |
| 01/09/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 11/04/2019 |
| 31/08/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 11/09/2017 |
| 21/08/2017 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Het Effectenhuis Commissionairs B.V. | | 04/10/2017 |
| 10/08/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/09/2017 |
| 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 |
| 27/07/2017 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 03/10/2017 |
| 26/07/2017 | ITALY | EMIR | EMIR Penalty | covip | fondo pensione | | 16/01/2019 |
| 20/07/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 31/07/2017 |
| 20/07/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 31/07/2017 |
| 06/07/2017 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | ABN Amro Bank N.V. | | 18/10/2017 |
| 03/07/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 07/11/2017 |
| 03/07/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 25/07/2017 |
| 03/07/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | CYCLOS SECURITIES S.A. | | 07/11/2017 |

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| 26/06/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |
| 21/06/2017 | ITALY | EMIR | EMIR Penalty | covip | fondo pensione | | 16/01/2019 |
| 21/06/2017 | ITALY | EMIR | EMIR Penalty | covip | fondo pensione | | 16/01/2019 |
| 21/06/2017 | ITALY | EMIR | EMIR Penalty | covip | fondo pensione | | 16/01/2019 |
| 20/06/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 04/04/2018 |
| 19/06/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | LIONSMAN CAPITAL MARKETS (CYPRUS) LTD | | 26/02/2018 |
| 14/06/2017 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 14/06/2022 | 27/06/2019 |
| 14/06/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 19/06/2017 |
| 14/06/2017 | SPAIN | MAD | Not requested by ESMA when submitted | Comisión Nacional del Mercado de Valores (CNMV) | GVC GAESCO VALORES S.V., S.A. | 14/06/2022 | 25/07/2017 |
| 09/06/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 19/06/2017 |
| 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 |
| 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 |
| 19/05/2017 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Florentis Verzekeringen N.V. | | 24/10/2017 |
| 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 |
| 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 |

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| 15/05/2017 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/05/2017 |
| 05/05/2017 | SLOVAKIA | MIFID | Administrative sanction | National Bank of Slovakia (NBS) | Infinity ELITE, o.c.p., a.s. | | 15/05/2017 |
| 25/04/2017 | POLAND | MIFID | Administrative measure | Polish Financial Supervisory Authority (KNF) | HFT Brokers Dom Maklerski S.A. | | 09/10/2019 |
| 24/04/2017 | SWEDEN | MIFID | Administrative sanction | Finansinspektionen (FI) | FoF Asset Management i Norden AB | | 08/05/2017 |
| 17/04/2017 | HUNGARY | MIFID | Administrative sanction | Central Bank of Hungary | Magyar Posta Befektetési Szolgáltató Zártkörűen Működő Rt. | | 06/06/2017 |
| 17/04/2017 | MALTA | UCITS | Administrative sanction and measure | Malta Financial Services Authority (MFSA) | TEMPLE ASSET MANAGEMENT LIMITED | | 18/04/2017 |
| 05/04/2017 | HUNGARY | MIFID | Administrative sanction | Central Bank of Hungary | Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt. | | 06/06/2017 |
| 03/04/2017 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 10/04/2017 |
| 30/03/2017 | AUSTRIA | MIFID | Administrative sanction | Austrian Financial Market Authority (FMA) | Schoellerbank Aktiengesellschaft | 30/07/2023 | 24/10/2018 |
| 29/03/2017 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 03/04/2017 |
| 27/03/2017 | CYPRUS | MIFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |
| 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 |
| 21/03/2017 | GREECE | MIFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 06/04/2017 |
| 13/03/2017 | CYPRUS | MIFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | UR TRADE FIX LTD | | 26/02/2018 |
| 08/03/2017 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 13/03/2017 |
| 08/03/2017 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | EDM GESTION, SOCIEDAD ANONIMA UNIPERSONAL, S.G.I.I.C. | 08/03/2022 | 14/06/2017 |
| 07/03/2017 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 13/03/2017 |

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| 07/03/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 13/03/2017 |
| 06/03/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | B.H.N.V. ONLINE LTD | | 05/02/2018 |
| 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 |
| 06/03/2017 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | Helsinki Area Cooperative Bank | | 05/05/2017 |
| 06/03/2017 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | Nordea Bank AB (publ), Finnish Branch | | 05/05/2017 |
| 23/02/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 06/04/2017 |
| 23/02/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 07/11/2017 |
| 22/02/2017 | FRANCE | UCITS | Administrative sanction and measure | Autorité des Marchés Financiers (AMF) | LA FINANCIERE DESSELLIGNY SA | 22/02/2022 | 20/02/2020 |
| 22/02/2017 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 27/02/2017 |
| 21/02/2017 | SPAIN | UCITS | Administrative sanction and measure | Comisión Nacional del Mercado de Valores (CNMV) | GESIURIS ASSET MANAGEMENT, SGIIC, S.A. | 21/02/2022 | 28/04/2017 |
| 17/02/2017 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 27/07/2017 |
| 16/02/2017 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 27/07/2017 |
| 14/02/2017 | IRELAND | MiFID | Administrative sanction | Central Bank of Ireland (CBI) | Kinsale Capital Management Limited | | 02/03/2017 |
| 13/02/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |
| 10/02/2017 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt. | | 06/06/2017 |
| 06/02/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |
| 06/02/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 06/03/2018 |
| 06/02/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | | | 07/03/2018 |

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| 03/02/2017 | ITALY | MiFID | Administrative sanction | BANCA D'ITALIA | INDEPENDENT PRIVATE BANKERS SIM SPA (IN LIQUIDAZIONE COATTA AMMINISTRATIVA) | | 14/03/2017 |
| 23/01/2017 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | Prior Capital Cy Ltd | | 26/02/2018 |
| 13/01/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 17/01/2017 |
| 13/01/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 17/01/2017 |
| 13/01/2017 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 16/03/2018 |
| 12/01/2017 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 29/12/2016 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Loohuis, mr. E.E.M.P. | | 18/10/2017 |
| 29/12/2016 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | ABF Adviesgroep B.V. | | 18/10/2017 |
| 19/12/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | BDSWISS HOLDING PLC | | 26/02/2018 |
| 16/12/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 07/12/2016 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | Banque Transatlantique S.A. | 07/12/2021 | 02/10/2017 |
| 05/12/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | NOVOX CAPITAL LTD | | 28/02/2018 |
| 30/11/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 27/07/2017 |
| 29/11/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/12/2016 |
| 28/11/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | COLMEX PRO LTD | | 28/02/2018 |
| 26/11/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 25/11/2016 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Crol, mr. E.J. | | 05/10/2017 |
| 24/11/2016 | SPAIN | MiFID | Administrative sanction | Comisión Nacional del Mercado de Valores (CNMV) | | 24/11/2021 | 20/12/2017 |

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| 04/08/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 09/08/2016 |
| 01/08/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | HF MARKETS (EUROPE) LTD | | 28/02/2018 |
| 21/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/07/2016 |
| 21/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/07/2016 |
| 21/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/07/2016 |
| 21/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 21/07/2016 |
| 18/07/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 25/07/2016 |
| 18/07/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 14/07/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/09/2016 |
| 11/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 11/07/2016 |
| 11/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 11/07/2016 |
| 11/07/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 11/07/2016 |
| 06/07/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 05/07/2016 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 14/02/2017 |
| 01/07/2016 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Binck Bank N.V. | | 18/10/2017 |
| 22/06/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/06/2016 |
| 21/06/2016 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | NOBLE Securities SA | | 08/03/2017 |
| 17/06/2016 | CZECHIA | UCITS | Administrative sanction and measure | Czech National Bank (CNB) | Generali Investments CEE, investiční společnost, a.s. | | 28/07/2016 |
| 16/06/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 16/06/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/09/2016 |

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| 16/06/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | PEGASUS SECURITIES S.A. | | 23/09/2016 |
| 09/06/2016 | SLOVAKIA | MiFID | Administrative sanction | National Bank of Slovakia (NBS) | Cornill Management, o.c.p., a.s. | | 16/06/2016 |
| 06/06/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | B.O. TRADEFINANCIALS LTD | | 28/02/2018 |
| 31/05/2016 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | HighSky Brokers, a.s. | | 29/03/2018 |
| 30/05/2016 | LITHUANIA | MiFID | Administrative sanction | Bank of Lithuania (LSC) | UAB FMĮ "Orion Securities" | | 23/09/2016 |
| 26/05/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 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 |
| 24/05/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/06/2016 |
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| 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 |
| 18/05/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | TRIPLE A EXPERTS S.A. | | 23/09/2016 |
| 18/05/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 30/05/2016 |
| 18/05/2016 | CZECHIA | UCITS | Administrative sanction and measure | Czech National Bank (CNB) | UNIQA investiční společnost, a.s. | | 28/07/2016 |
| 16/05/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 30/05/2016 |
| 10/05/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 16/05/2016 |
| 04/05/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 16/05/2016 |
| 27/04/2016 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/06/2016 |

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| 15/04/2016 | 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 |
| 14/04/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 18/04/2016 |
| 13/04/2016 | 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 |
| 06/04/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 31/03/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 11/04/2016 |
| 31/03/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | PEGASUS SECURITIES S.A. | | 11/04/2016 |
| 31/03/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 31/03/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 11/04/2016 |
| 29/03/2016 | 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 |
| 24/03/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 16/03/2016 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | Binck Bank | | 20/09/2017 |
| 08/03/2016 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | FX-CAM Consulting and Advertisement Ltd | | 03/04/2017 |
| 07/03/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 04/03/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 05/12/2017 |
| 29/02/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 25/02/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 24/02/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/04/2016 |
| 24/02/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/04/2016 |

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| 22/02/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 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 |
| 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 |
| 08/02/2016 | LITHUANIA | MiFID | Administrative sanction | Bank of Lithuania (LSC) | Macte Invest FM AB | | 22/02/2016 |
| 01/02/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 28/01/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/02/2016 |
| 27/01/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 08/02/2016 |
| 21/01/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | SOLIDUS SECURITIES S.A. | | 11/04/2016 |
| 21/01/2016 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | EPIC S.A. | | 11/04/2016 |
| 19/01/2016 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/02/2016 |
| 18/01/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | BANC DE BINARY LTD | | 06/03/2018 |
| 18/01/2016 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | OUROBOROS DERIVATIVES TRADING LTD | | 28/02/2018 |
| 12/01/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 27/07/2017 |
| 11/01/2016 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 31/07/2017 |
| 23/12/2015 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 28/12/2015 |
| 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 |
| 18/12/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 05/02/2016 |

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| 30/10/2015 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | CICCOLELLA SPA | | 16/11/2015 |
| 28/10/2015 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 16/11/2015 |
| 27/10/2015 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | EQUILOR Befektetési Zártkörűen Működő Részvénytársaság | | 20/11/2015 |
| 23/10/2015 | 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 |
| 23/10/2015 | 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 |
| 23/10/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 19/11/2015 |
| 23/10/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 26/11/2015 |
| 23/10/2015 | 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 |
| 23/10/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 08/02/2016 |
| 22/10/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 24/11/2015 |
| 20/10/2015 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 16/11/2015 |
| 20/10/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 19/11/2015 |
| 20/10/2015 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | ABN Amro Bank N.V. | | 18/10/2017 |
| 12/10/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | G.A. PERVANAS SECURITIES AND INVESTMENT SERVICES COMPANY S.A. | | 30/10/2015 |
| 12/10/2015 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | DEPAHO LTD | | 27/02/2018 |
| 12/10/2015 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | RODELER LIMITED | | 27/02/2018 |

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| 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 |
| 03/08/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 07/08/2015 |
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| 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 |
| 14/07/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 04/08/2015 |
| 13/07/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 19/08/2015 |
| 13/07/2015 | SLOVAKIA | MiFID | Administrative sanction | National Bank of Slovakia (NBS) | JELLYFISH o.c.p., a.s. | | 23/07/2015 |
| 09/07/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 04/08/2015 |
| 09/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 09/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 09/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 09/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 09/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 06/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 06/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |

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| 06/07/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 17/07/2015 |
| 02/07/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 04/08/2015 |
| 01/07/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 03/07/2015 |
| 30/06/2015 | 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 |
| 24/06/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 04/08/2015 |
| 23/06/2015 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | Colosseum, a.s. | | 14/09/2015 |
| 23/06/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 04/08/2015 |
| 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 |
| 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 |
| 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 |
| 11/06/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/06/2015 |
| 11/06/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/06/2015 |
| 11/06/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | GUARDIAN TRUST SECURITIES S.A. | | 15/06/2015 |
| 10/06/2015 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | BH Securities a.s. | | 14/09/2015 |

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| 23/04/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/05/2015 |
| 20/04/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/08/2015 |
| 16/04/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 03/07/2015 |
| 08/04/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 03/06/2015 |
| 07/04/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 20/05/2015 |
| 03/04/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 03/06/2015 |
| 03/04/2015 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 10/04/2017 |
| 27/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 20/05/2015 |
| 20/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 20/05/2015 |
| 20/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 20/05/2015 |
| 20/03/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 26/03/2015 |
| 17/03/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/03/2015 |
| 17/03/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/03/2015 |
| 17/03/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/03/2015 |
| 16/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 20/05/2015 |
| 13/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 02/04/2015 |
| 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 |
| 12/03/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 03/06/2015 |
| 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 |

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| 06/03/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 10/03/2015 |
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| 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 |
| 04/03/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 05/03/2015 |
| 04/03/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 05/03/2015 |
| 04/03/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 20/03/2015 |
| 25/02/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 18/03/2015 |
| 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 |
| 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 |
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| 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 |
| 24/02/2015 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 10/03/2015 |
| 23/02/2015 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | | | 27/02/2015 |
| 17/02/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 09/04/2015 |
| 28/01/2015 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 10/03/2015 |
| 19/01/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | ATLAS SECURITIES S.A. | | 20/03/2015 |

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| 19/01/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | STAVROS EMM. LAVRENTAKIS SECURITIES S.A. | | 28/01/2015 |
| 19/01/2015 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | EUROXX SECURITIES S.A. | | 28/01/2015 |
| 19/12/2014 | 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 |
| 10/12/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 15/12/2014 |
| 09/12/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 22/12/2014 |
| 05/12/2014 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | Investerum AB | | 05/12/2014 |
| 05/12/2014 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | | | 05/12/2014 |
| 05/12/2014 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | | | 05/12/2014 |
| 03/12/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 02/12/2014 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | t Sorgh & Huis hodn Maesons | | 18/10/2017 |
| 28/11/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 27/11/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 24/11/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 18/11/2014 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 14/02/2017 |
| 18/11/2014 | SLOVAKIA | MiFID | Administrative sanction | National Bank of Slovakia (NBS) | | | 17/12/2014 |
| 14/11/2014 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | Privanet Capital Markets Ltd | | 16/12/2016 |
| 10/11/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 05/10/2016 |
| 10/11/2014 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | STRATEGON Értékpapír Zártkörűen Működő Rt. | | 12/12/2014 |
| 05/11/2014 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | COSMIC FINANCIAL SERVICES (MALTA) LIMITED | | 05/11/2014 |
| 28/10/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 03/11/2014 |

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| 22/10/2014 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | B & P Fund Services Aktiebolag | | 20/01/2015 |
| 15/10/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/10/2014 |
| 15/10/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/10/2014 |
| 15/10/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 23/10/2014 |
| 15/10/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | SOLIDUS SECURITIES S.A. | | 23/10/2014 |
| 08/10/2014 | HUNGARY | UCITS | Administrative sanction and measure | Central Bank of Hungary | CARION Befektetési Alapkezelő Zártkörűen Működő Rt. | | 21/10/2014 |
| 07/10/2014 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | CENTRALNY DOM MAKLECKI PEKAO SA | | 08/03/2017 |
| 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 |
| 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 |
| 16/09/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 16/09/2014 |
| 11/09/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 19/09/2014 |
| 09/09/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/09/2014 |
| 09/09/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | PRELIUM INVESTMENT SERVICES S.A. | | 10/09/2014 |
| 09/09/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | GUARDIAN TRUST SECURITIES S.A. | | 10/09/2014 |
| 09/09/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/09/2014 |
| 01/09/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 01/12/2014 |
| 29/08/2014 | DENMARK | MAD | Not requested by ESMA when submitted | Finanstilsynet | Vestjysk Bank A/S | | 10/11/2014 |
| 28/08/2014 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | ABN Amro Bank N.V. | | 18/10/2017 |
| 13/08/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 05/01/2015 |

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| 13/08/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/08/2014 |
| 13/08/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 05/01/2015 |
| 13/08/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 05/01/2015 |
| 13/08/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 22/08/2014 |
| 11/08/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/12/2014 |
| 07/08/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/12/2014 |
| 29/07/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/12/2014 |
| 23/07/2014 | ITALY | MAD | Not requested by ESMA when submitted | Commissione Nazionale per le Societa e la Borsa (CONSOB) | BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED | | 10/06/2015 |
| 17/07/2014 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | CENTRAL CREDIT Befektetési Tanácsadó Zrt. | | 21/10/2014 |
| 03/07/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 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 |
| 03/07/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | CAPITAL SECURITIES S.A. | | 18/07/2014 |
| 02/07/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 30/12/2020 |
| 26/06/2014 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | Skandiabanken Aktiebolag (publ) | | 03/07/2014 |
| 20/06/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/12/2014 |
| 17/06/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | CRONOS FINANCIAL SERVICES S.A. | | 02/07/2014 |

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| 16/06/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 02/07/2014 |
| 04/06/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 01/12/2014 |
| 30/05/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 04/06/2014 |
| 30/05/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 03/06/2014 |
| 28/05/2014 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | HighSky Brokers, a.s. | | 14/09/2015 |
| 22/05/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 28/05/2014 |
| 16/05/2014 | IRELAND | MiFID | Administrative sanction | Central Bank of Ireland (CBI) | Squared Financial Services Limited | | 03/06/2015 |
| 02/05/2014 | DENMARK | MiFID | Administrative sanction | Finanstilsynet | | | 11/05/2017 |
| 29/04/2014 | LITHUANIA | UCITS | Administrative sanction and measure | Bank of Lithuania (LSC) | Dovre Forvaltning | | 25/11/2014 |
| 15/04/2014 | HUNGARY | UCITS | Administrative sanction and measure | Central Bank of Hungary | Biggeorge's-NV Ingatlan Befektetési Alapkezelő Zártkörűen Működő Rt. | | 08/05/2014 |
| 24/03/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 31/03/2014 |
| 21/03/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 24/03/2014 |
| 21/03/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 24/03/2014 |
| 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 |
| 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 |
| 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 |
| 04/03/2014 | IRELAND | MiFID | Administrative sanction | Central Bank of Ireland (CBI) | AVA Trade EU Limited | | 03/06/2015 |
| 04/03/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 14/03/2014 |

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| 04/03/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 14/03/2014 |
| 01/03/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 17/03/2015 |
| 01/03/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 30/03/2015 |
| 01/03/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 27/02/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | EUROBANK EQUITIES INVESTMENT FIRM S.A. | | 05/03/2014 |
| 20/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 25/02/2014 |
| 20/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 25/02/2014 |
| 20/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 25/02/2014 |
| 18/02/2014 | DENMARK | MiFID | Administrative sanction | Finanstilsynet | Danske Bank A/S | | 20/02/2014 |
| 14/02/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 17/02/2014 |
| 12/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 13/02/2014 |
| 12/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 13/02/2014 |
| 12/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 13/02/2014 |
| 12/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 13/02/2014 |
| 12/02/2014 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 13/02/2014 |
| 11/02/2014 | DENMARK | MiFID | Administrative sanction | Finanstilsynet | Nordea Bank Danmark A/S | | 20/02/2014 |
| 04/02/2014 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Societa e la Borsa (CONSOB) | | | 07/02/2014 |
| 03/02/2014 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 31/01/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 13/02/2014 |
| 28/01/2014 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | FXDD MALTA LIMITED | | 28/10/2014 |
| 16/01/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 13/02/2014 |
| 16/01/2014 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 13/02/2014 |

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| 22/10/2013 | HUNGARY | MiFID | Administrative sanction | Central Bank of Hungary | BUDAPEST Hitel- és Fejlesztési Bank Zártkörűen Működő Részvénytársaság | | 13/02/2014 |
| 15/10/2013 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | JRS Asset Management AB | | 26/02/2014 |
| 11/10/2013 | DENMARK | MAD | Not requested by ESMA when submitted | Finanstilsynet | Sparekassen Kronjylland | | 07/03/2014 |
| 10/10/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 10/10/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/02/2014 |
| 10/10/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 10/10/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 10/10/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 03/10/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 10/02/2014 |
| 25/09/2013 | HUNGARY | UCITS | Administrative sanction and measure | Hungarian Financial Supervisory Authority (PSZAF) | Budapest Alapkezelő Zártkörűen Működő Rt. | | 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 |
| 11/09/2013 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 05/09/2013 | CYPRUS | MiFID | Administrative sanction | Cyprus Securities and Exchange Commission (CySEC) | HARVEST FINANCIAL SERVICES LTD | | 18/03/2014 |
| 04/09/2013 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | ALL INVEST COMPANY LIMITED | | 04/03/2014 |
| 29/08/2013 | GREECE | MAD | Not requested by ESMA when submitted | Hellenic Capital Market Commission (HCMC) | ARDU PRIME S.A. | | 18/02/2014 |
| 27/08/2013 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | CYRRUS, a.s. | | 08/09/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |

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| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/08/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 06/08/2013 | FRANCE | MiFID | Administrative sanction | Autorité des Marchés Financiers (AMF) | | | 24/02/2014 |
| 01/08/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | TRIPLE A EXPERTS S.A. | | 18/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
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| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
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| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 30/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 25/07/2013 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | | | 24/02/2014 |
| 19/07/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | KDB Bank Európa Zártkörűen Működő Részvénytársaság | | 13/02/2014 |
| 09/07/2013 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 09/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 09/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/07/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |

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| 15/05/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | UniCredit Bank Hungary Zrt. | | 13/02/2014 |
| 08/05/2013 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 02/05/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 02/05/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 26/04/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt. | | 29/01/2014 |
| 26/04/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | Raiffeisen Bank Zártkörűen Működő Részvénytársaság | | 29/01/2014 |
| 24/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 24/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 24/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 23/04/2013 | POLAND | MiFID | Administrative sanction | Polish Financial Supervisory Authority (KNF) | | | 14/02/2017 |
| 22/04/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | Magyar Takarékszövetkezeti 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 |
| 15/04/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 07/02/2014 |
| 15/04/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | BETA SECURITIES S.A. | | 10/02/2014 |
| 15/04/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | GUARDIAN TRUST SECURITIES S.A. | | 18/02/2014 |
| 15/04/2013 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | Global Invest Finansförmedling Sverige AB | | 26/02/2014 |
| 15/04/2013 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | Ericsson & Partners Förmögenhetsförvaltning AB | | 26/02/2014 |

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| 11/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 11/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 11/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 08/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/04/2013 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 28/03/2013 | SWEDEN | MiFID | Administrative sanction | Finansinspektionen (FI) | Exceed Capital Sverige AB | | 26/02/2014 |
| 27/03/2013 | HUNGARY | UCITS | Administrative sanction and measure | Hungarian Financial Supervisory Authority (PSZAF) | DIVINUS Befektetési Alapkezelő Zártkörűen Működő Rt. | | 29/01/2014 |
| 26/03/2013 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | Raiffeisen Bank Zártkörűen Működő Részvénytársaság | | 29/01/2014 |
| 25/03/2013 | ITALY | MiFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 22/03/2013 | HUNGARY | UCITS | Administrative sanction and measure | Hungarian Financial Supervisory Authority (PSZAF) | FirstFund Befektetési Alapkezelő Zártkörűen Működő Rt. | | 29/01/2014 |
| 20/03/2013 | 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 |
| 28/02/2013 | GREECE | MiFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | | | 06/02/2014 |

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| 08/02/2013 | HUNGARY | UCITS | Administrative sanction and measure | Hungarian Financial Supervisory Authority (PSZAF) | Pioneer Befektetési Alapkezelő Zártkörűen Működő Rt. | | 29/01/2014 |
| 07/02/2013 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 04/02/2013 | FINLAND | MIFID | Administrative sanction | Finanssivalvonta (FSA) | | | 24/02/2014 |
| 31/01/2013 | GREECE | MIFID | Administrative sanction | Hellenic Capital Market Commission (HCMC) | GUARDIAN TRUST SECURITIES S.A. | | 18/02/2014 |
| 30/01/2013 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 08/01/2013 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 02/01/2013 | DENMARK | MIFID | Administrative sanction | Finanstilsynet | Fondsmæglerselskabet StockRate Asset Management A/S | | 20/02/2014 |
| 31/12/2012 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | AFX CAPITAL MARKETS LTD | | 16/09/2014 |
| 12/12/2012 | IRELAND | MAD | Not requested by ESMA when submitted | Central Bank of Ireland (CBI) | Cantor Fitzgerald Ireland Limited | | 11/02/2014 |
| 29/11/2012 | PORTUGAL | MIFID | Administrative sanction | Comissão do Mercado de Valores Mobiliários (CMVM) | Banco Invest, SA | | 06/08/2014 |
| 29/11/2012 | MALTA | MIFID | Administrative sanction | Malta Financial Services Authority (MFSA) | Zenith Financial Limited | | 04/03/2014 |
| 22/11/2012 | HUNGARY | MIFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | ERSTE BANK HUNGARY Zártkörűen Működő Részvénytársaság | | 29/01/2014 |
| 12/11/2012 | ITALY | MIFID | Administrative sanction | Commissione Nazionale per le Società e la Borsa (CONSOB) | | | 07/02/2014 |
| 01/11/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 01/11/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 01/11/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 01/11/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 25/10/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 25/10/2012 | ROMANIA | MIFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |

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| 20/08/2012 | 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 |
| 20/08/2012 | 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 |
| 20/08/2012 | 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 |
| 20/08/2012 | 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 |
| 20/08/2012 | 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 |
| 07/08/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | SSIF BRK FINANCIAL GROUP S.A. | | 06/02/2014 |
| 18/07/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt. | | 29/01/2014 |
| 18/07/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | REÁLSZISZTÉMA Értékpapír-forgalmazó és Befektető Zártkörűen Működő Rt. | | 29/01/2014 |
| 17/07/2012 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | ABR Financial B.V. | | 24/10/2017 |
| 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 |
| 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 |
| 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 |

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| 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 |
| 25/06/2012 | DENMARK | MiFID | Administrative sanction | Finanstilsynet | Demetra Fondsmæglerselskab A/S | | 20/02/2014 |
| 25/06/2012 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | CYRRUS, a.s. | | 28/01/2015 |
| 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 |
| 14/06/2012 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | UB Securities Ltd | | 22/06/2016 |
| 07/06/2012 | DENMARK | MiFID | Administrative sanction | Finanstilsynet | Jyske Bank A/S | | 20/02/2014 |
| 04/06/2012 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | BANK OF VALLETTA PLC | | 04/03/2014 |
| 31/05/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | SWISS CAPITAL S.A. | | 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 |
| 30/05/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | ELDAINVEST S.A. | | 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 |
| 29/05/2012 | 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 |

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| 25/05/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
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| 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 |
| 22/05/2012 | 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 |
| 22/05/2012 | 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 |
| 10/05/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | Solar Capital Markets Értékpapír Kereskedelmi Zártkörűen Működő Rt. | | 29/01/2014 |
| 07/05/2012 | FINLAND | MiFID | Administrative sanction | Finanssivalvonta (FSA) | | | 24/02/2014 |
| 03/05/2012 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 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 |
| 02/05/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 28/04/2012 | CZECHIA | MAD | Not requested by ESMA when submitted | Czech National Bank (CNB) | Komerční banka, a.s. | | 29/01/2015 |
| 11/04/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | Sberbank Magyarország Zártkörűen Működő Részvénytársaság | | 29/01/2014 |
| 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 |

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| 21/02/2012 | 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 |
| 16/02/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | STRATEGON Értékpapír Zártkörűen Működő Rt. | | 29/01/2014 |
| 16/02/2012 | HUNGARY | MiFID | Administrative sanction | Hungarian Financial Supervisory Authority (PSZAF) | STRATEGON Értékpapír Zártkörűen Működő Rt. | | 29/01/2014 |
| 16/02/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 16/02/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 07/02/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 07/02/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 07/02/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 31/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 31/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 31/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 31/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 31/01/2012 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | BANK OF VALLETTA PLC | | 04/03/2014 |
| 12/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 12/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 12/01/2012 | ROMANIA | MiFID | Administrative sanction | Romanian Financial Supervisory Authority | | | 06/02/2014 |
| 05/01/2012 | MALTA | MiFID | Administrative sanction | Malta Financial Services Authority (MFSA) | BANK OF VALLETTA PLC | | 04/03/2014 |
| 22/12/2011 | CZECHIA | UCITS | Administrative sanction and measure | Czech National Bank (CNB) | ČSOB Asset Management, a.s., investiční společnost | | 29/01/2015 |
| 06/12/2011 | 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 |

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| 27/10/2011 | 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 |
| 21/10/2011 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 19/10/2011 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 12/10/2011 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | Raiffeisenbank a.s. | | 29/01/2015 |
| 01/09/2011 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | ATLANTIK finanční trhy, a.s. | | 28/01/2015 |
| 09/08/2011 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 11/06/2011 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | ATLANTIK finanční trhy, a.s. | | 28/01/2015 |
| 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 |
| 02/04/2011 | BULGARIA | MiFID | Administrative sanction | Financial Services Authority (FSA) | | | 06/03/2015 |
| 22/02/2011 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | Patria Finance, a.s. | | 29/01/2015 |
| 15/02/2011 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | EFEKTA obchodník s cennými papíry a.s. | | 28/01/2015 |
| 20/01/2011 | NETHERLANDS | MiFID | Administrative sanction | Netherlands Authority for the Financial Markets (AFM) | SNS Bank N.V. | | 18/10/2017 |
| 04/01/2011 | BULGARIA | MiFID | Administrative sanction | Financial Supervision Commission (FSC) | | | 06/03/2015 |
| 21/10/2010 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | WOOD & Company Financial Services, a.s. | | 29/01/2015 |
| 05/10/2010 | CZECHIA | MAD | Not requested by ESMA when submitted | Czech National Bank (CNB) | Raiffeisenbank a.s. | | 29/01/2015 |
| 01/10/2010 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | Raiffeisenbank a.s. | | 29/01/2015 |
| 21/05/2010 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | UniCredit Bank Czech Republic and Slovakia, a.s. | | 29/01/2015 |
| 07/04/2010 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | J&T BANKA, a.s. | | 29/01/2015 |
| 22/03/2010 | CZECHIA | MiFID | Administrative sanction | Czech National Bank (CNB) | CYRRUS, a.s. | | 28/01/2015 |