

## SANCTIONS - ADMINISTRATIVE SANCTIONS

### Year 2021

### Outcome of sanctioning proceedings

	Number	%	Amount (in euro)
<b>SANCTIONS AGAINST UNDERTAKINGS</b>			
• Pecuniary sanctions *	102	21,9	3.231.019
• Non-pecuniary sanctions	0	0,0	---
<b>Total undertakings sanctions</b>	<b>102</b>	<b>21,9</b>	<b>3.231.019</b>
<b>SANCTIONS AGAINST INTERMEDIARIES</b>			
• Pecuniary sanctions **	7	1,5	367.000
• Non-pecuniary sanctions	107	23,0	---
• Disciplinary sanctions***	17	3,7	---
<b>Total intermediaries sanctions</b>	<b>131</b>	<b>28,2</b>	<b>367.000</b>
<b>DISMISSALS</b>	<b>232</b>	<b>49,9</b>	<b>---</b>
<b>OVERALL TOTAL</b>	<b>465</b>	<b>100,0</b>	<b>3.598.019</b>

Source: IVASS

\* N. 27 orders relate to proceedings initiated following the unitary assessment of specific breaches in a determined period of time to which a single sanction corresponds

\*\* N. 3 orders for euro 347.000 relate to proceedings initiated for violations committed by intermediaries before 1 October 2018

\*\*\* Relating to proceedings initiated for violations committed by intermediaries before 1 October 2018