

SANCTIONS - ADMINISTRATIVE SANCTIONS

2nd half-year 2023

Outcome of sanctioning proceedings

| | Number | % | Amount (in euro) |
|---|-----------|--------------|---------------------|
| SANCTIONS AGAINST UNDERTAKINGS | | | |
| • Pecuniary sanctions * | 16 | 28,6 | 3.427.715 |
| • Non-pecuniary sanctions | 0 | 0,0 | --- |
| Total undertakings sanctions | 16 | 28,6 | 3.427.715 |
| SANCTIONS AGAINST CORPORATE OFFICERS AND PERSONNEL | | | |
| • Pecuniary sanctions | 8 | 14,3 | 402.000 |
| Total sanctions for corporate officers and personnel | 8 | 14,3 | 402.000 |
| SANCTIONS AGAINST INTERMEDIARIES | | | |
| • Pecuniary sanctions | 4 | 7,1 | 142.000 |
| • Non-pecuniary sanctions | 19 | 33,9 | --- |
| Total intermediaries sanctions | 23 | 41,0 | 142.000 |
| DISMISSALS | 9 | 16,1 | --- |
| OVERALL TOTAL | 56 | 100,0 | 3.971.715 |

Source: IVASS

* N. 6 orders relate to proceedings initiated following the unitary assessment of specific breaches in a determined period of time to which a single sanction corresponds