



Date: February 2008  
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**EXECUTIVE SUMMARY  
TO THE  
REPORT ON ADMINISTRATIVE MEASURES AND SANCTIONS AS WELL AS THE CRIMINAL  
SANCTIONS AVAILABLE IN MEMBER STATES  
UNDER THE MARKET ABUSE DIRECTIVE (MAD) (REF. CESR/07-693)**

**INTRODUCTION:**

CESR (and more precisely its operational group for cooperation and enforcement CESR-Pol) is seeking to develop a common understanding amongst its members regarding treatment of aspects of the Market Abuse Directive (MAD 2003/6/EC) (hereafter “MAD”) and to this end it has identified work topics that merit further guidance to achieve greater convergence in the application of the MAD.

CESR also provides technical assistance to the European Commission on the MAD legal framework when specifically mandated to do so.

CESR was asked by the European Commission in March 2007 to assist in setting up, for information purposes, a list of administrative measures and sanctions as well as criminal sanctions under the MAD in Member States, in order to facilitate greater transparency in the application of the MAD and thus to facilitate effective implementation and application of the MAD.

By way of background, the current report follows on from previous work under taken by CESR:

In 2005 CESR undertook an internal mapping which sought to identify powers and sanctions in the area of market abuse so as to assist supervisors’ understanding of each others systems. As a result of this initial work CESR recommended that the European Commission draw up a list of administrative measures and sanctions available to Member States under the MAD to address calls for greater transparency from market participants and accommodate concerns about the diversity of measures and sanctions applied in Member States. In mid 2006 CESR launched a further mapping exercise, to assess the supervisory powers accorded to CESR members following the entry into force of the MAD. The purpose of this exercise conducted by CESR’s Review Panel, was to ascertain whether competent authorities of Member States had equivalent supervisory powers particularly when dealing with cross border cases. The capacity to act on an equal footing when performing cross-border investigatory/supervisory and sanctioning activities is considered by CESR as a precondition to a credible EU supervisory system and fundamental to delivering supervisory convergence. The resulting report was published on 21 June 2007 (Ref. CESR/07-334b). That report not only assessed the attribution of powers to CESR members but also considered the ability to issue rules, cooperate and exercise their supervisory powers. It also presents how these powers are exercised in practice by the relevant competent authorities. This report and a high level analysis of its findings were submitted to the FSC.

More recently, CESR, through its operational working group for cooperation and enforcement, CESR-Pol, published a detailed list of administrative sanctions and measures as well as criminal sanctions pursuant to the request made by the European Commission (Ref. CESR/07-693). This report is of fact-finding nature and was published on 22 November 2007 and can be accessed on the CESR website ([http://www.cesr.eu/index.php?page=document\\_details&id=4853&from\\_id=22](http://www.cesr.eu/index.php?page=document_details&id=4853&from_id=22)).



The purpose of CESR's report is to inform the EU Institutions and market participants about the different approaches to apply sanctions and administrative measures across the EU Member States. For the sake of completeness relevant criminal sanctions were also detailed. The report consists of a compilation of the responses provided by all CESR members on the legal tools available nationally to enforce infringements of the requirements set out in the MAD.

This executive summary shall briefly illustrate the content of the extensive report thus allowing a quick and comprehensive overview of the measures available in the Member States to enforce infringements of MAD provisions.

#### **MEASURES AND SANCTIONS UNDER THE MAD:**

According to the provisions in the MAD Member States have the discretion to decide on the amount of fines and the types of administrative measures applicable in market abuse cases. Furthermore, the Member States may also introduce criminal sanctions in Market Abuse cases. Article 14 para.1 of the MAD requires Member States:

*“To ensure, in conformity with their national law, that the appropriate administrative measures can be taken or administrative sanctions be imposed against the persons responsible where the provisions adopted in the implementation of this Directive have not been complied with. Member States shall ensure that these measures are effective proportionate and dissuasive.”*

The exercises undertaken by CESR reveal that there are differences in respect of sanctions applied in cases of market abuse. The report does not seek to analyse these differences or to draw any conclusions on the impact of differences, However, CESR notes that the differences that exist are largely due to the fact that Members States' legal systems differ, and that the division of responsibilities between competent authorities in each Member State, in relation to the investigation of cases and subsequent enforcement also vary.

Administrative sanctions and measures available to CESR members range from a public or private reprimand through to monetary penalties (pecuniary fines), disqualification from management, or ownership of a regulated entity, withdrawal of licenses. .

By way of example we note the following:

For the infringement of Article 2 of the MAD providing for insider dealing cases:

- 24 out of 29 jurisdictions may impose **administrative measures** whereas 5 out of 29 jurisdictions do not impose such measures (CY-HU-NO-PL-SE)
- 21 out of 29 jurisdictions may impose **administrative pecuniary sanctions (fines)** whereas 8 do not impose administrative pecuniary fines (AT-DK-EE-DE-LV-LU-PL-SE)
- 28 out of 29 jurisdictions may impose **criminal sanctions**. Only one jurisdiction does not impose criminal sanctions (BG).

Similarly for infringements of Art.5 of the MAD providing for market manipulation cases

- 24 out of 29 may impose **administrative measures** whereas 5 out of 29 jurisdictions do not impose such measures (CY-HU-NO-SI-SE)
- 25 out of 29 may impose **administrative pecuniary sanctions** whereas 4 out of 29 do not. (DK-LV-LU-SE)
- 25 out of 29 may impose **criminal sanctions** whereas 4 out of 29 do not impose criminal sanctions (BG-SK-SI-AT)



There is also quite a **divergence in the amount of administrative pecuniary sanctions** available to authorities. For example:

For a market manipulation case:

- In the UK the authority may impose unlimited financial penalties
- In IT the authority may impose max € 75.000.000 or 10 times the profit
- In SI the authority may impose to individual persons max € 1,200 to legal entities max € 125,000 and to persons responsible within a legal entity MAX € 1,400
- In LT the authority may impose to individuals max € 1,450 and to legal entities max € 30,000 or 3 times the profit
- In FI the authority may impose to individuals max € 10,000 and to legal entities max € 200,000
- In BG the authority may impose to individuals max € 25,000 and to legal entities max € 50,000
- In AT the authority may impose max €50,000
- In PL the authority may impose max €52,910 or 10 times the profit

For an insider dealing case:

- In the UK the authority may impose unlimited financial penalties
- In IT the authority may impose max € 45.000.000 or 10 times the profit
- In IS the authority may impose min €118 and max €235.000
- In SI the authority may impose to individual persons max € 1,200 to legal entities max € 125,000 and to persons responsible within a legal entity MAX € 1,400
- In LT the authority may impose to individuals max € 1,450 and to legal entities max € 30,000 or 3 times the profit
- In BG the authority may be impose to individuals max € 25,000 and to legal entities max € 50,000

The same divergence exists in relation to **criminal sanctions**. Criminal sanctions may range from imprisonment to financial penalties and disgorgement of profits.

For an insider dealing case:

- 2 out of 29 jurisdictions may not impose imprisonment (BG-SI)
- 27 out of 29 jurisdictions may impose imprisonment varying from min 3 months – max 1 year (BE) or max 15 years (LV)



The **criminal pecuniary sanctions** also vary across Europe:

- In one jurisdiction (DE) unlimited criminal fines may be imposed.
- In one jurisdiction (IE) criminal fines up to €10.000.000 may be imposed.
- In another jurisdiction (BE) a min €50 max €10.000 fine may be imposed.

For a market manipulation case:

25 out of 29 jurisdictions may impose imprisonment varying from min 1 month – max 2 years (BE) or max 15 years (LV) whereas 4 out of 29 do not force imprisonment

**Note:**

The report sets out the situation as of 17 Oct 2007. The accuracy of the responses is the sole responsibility of each CESR member.

## STATISTICS FROM 29 COUNTRIES

|                              |   |     | Administrative Measures | Administrative Pecuniary Sanctions | Criminal Sanctions |
|------------------------------|---|-----|-------------------------|------------------------------------|--------------------|
| Art. 2                       | Primary Insiders-Insider Dealing                    | Yes | 24 of 29                | 21 of 29                           | 28 of 29           |
| Ar. 3 (a)                    | Primary Insiders-Disclosure of Inside Information   | Yes | 23 of 29                | 21 of 29                           | 25 of 29           |
| Art. 3 (b)                   | Primary Insiders-"Tipping"                          | Yes | 22 of 29                | 21 of 29                           | 27 of 29           |
| Art. 4 [Art.2]               | Secondary Insiders-Insider Dealing                  | Yes | 23 of 29                | 20 of 29                           | 23 of 29           |
| Art. [Art.3(a)] <sup>4</sup> | Secondary Insiders-Disclosure of Inside Information | Yes | 22 of 29                | 21 of 29                           | 20 of 29           |
| Art. [Art.3(b)] <sup>4</sup> | Secondary Insiders-"Tipping"                        | Yes | 22 of 29                | 21 of 29                           | 22 of 29           |
| Art. 5                       | Market Manipulation                                 | Yes | 24 of 29                | 25 of 29                           | 25 of 29           |
| Art. 6(1)                    | Publication of Inside Information                   | Yes | 23 of 29                | 28 of 29                           | 9 of 29            |
| Art. 6(2)                    | Information of Delay of Publication                 | Yes | 13 of 29                | 18 of 29                           | 4 of 29            |
|                              |   | No  | 6 of 29                 | 1 of 29                            | 15 of 29           |
|                              |   | N/A | 10 of 29                | 10 of 29                           | 10 of 29           |
| Art. 6(3)                    | Disclosure of Inside Information to Third Party     | Yes | 23 of 29                | 27 of 29                           | 9 of 29            |
| Art. 6(3)                    | List of Insiders                                    | Yes | 23 of 29                | 27 of 29                           | 6 of 29            |
| Art. 6(4)                    | Manager Transactions                                | Yes | 22 of 29                | 26 of 29                           | 6 of 29            |
| Art. 6(4)                    | Publication of Manager Transactions                 | Yes | 19 of 29                | 22 of 29                           | 4 of 29            |
| Art. 6(5)                    | Dissemination of Research                           | Yes | 23 of 29                | 25 of 29                           | 5 of 29            |

|                              |   |      |          |          |          |
|------------------------------|---|------|----------|----------|----------|
| Art. 6(6)                    | Market Operators-Adoption of Structural Provisions                                    | Yes  | 22 of 29 | 19 of 29 | 2 of 29  |
| Art. 6(7)                    | Informing the Public Correctly  | Yes  | 22 of 29 | 18 of 29 | 4 of 29  |
| Art. 6(8)                    | Dissemination of Statistics by Public Institutions                                    | Yes  | 14 of 29 | 8 of 29  | 1 of 29  |
|                              |   | No   | 14 of 29 | 20 of 29 | 27 of 29 |
|                              |   | N/A  | 1 of 29  | 1 of 29  | 1 of 29  |
| Art. 6(9)                    | Notification of Suspicious Transactions   | Yes  | 20 of 29 | 23 of 29 | 5 of 29  |
| Art. 13                      | Breach of Professional Secrecy  | Yes  | 19 of 29 | 7 of 29  | 19 of 29 |
| Art. 14(3) -<br>Art.12.2 (a) | Failure to Co-operate to Investigation-Access to Documents                            | Yes  | 24 of 29 | 21 of 29 | 12 of 29 |
| Art. 14(3) -<br>Art.12.2 (b) | Failure to Co-operate to Investigation-Demand Information                             | Yes  | 24 of 29 | 21 of 29 | 11 of 29 |
| Art. 14(3) -<br>Art.12.2 (c) | Failure to Co-operate to Investigation-On Site Inspections                            | Yes  | 23 of 29 | 19 of 29 | 10 of 29 |
| Art. 14(3) -<br>Art.12.2 (d) | Failure to Co-operate to Investigation-Telephone and Data Traffic Records             | Yes  | 20 of 29 | 16 of 29 | 11 of 29 |
| Art. 14(3) -<br>Art.12.2 (e) | Failure to Co-operate to Investigation-Cessation of Practice                          | Yes  | 24 of 29 | 15 of 29 | 12 of 29 |
|                              |   | No   | 5 of 29  | 13 of 29 | 17 of 29 |
|                              |   | N/AV | 0 of 29  | 1 of 29  | 0 of 29  |
| Art. 14(3) -<br>Art.12.2 (f) | Failure to Co-operate to Investigation-Suspension of Trading                          | Yes  | 22 of 29 | 17 of 29 | 5 of 29  |
| Art. 14(3) -<br>Art.12.2 (g) | Failure to Co-operate to Investigation-Freezing/Sequestration of the Assets           | Yes  | 17 of 29 | 11 of 29 | 12 of 29 |
| Art. 14(3) -<br>Art.12.2 (h) | Failure to Co-operate to Investigation-Temporary Prohibition of Professional Activity | Yes  | 22 of 29 | 13 of 29 | 13 of 29 |

N/A            Not Applicable

N/AV         Not Available

## STATISTICS FROM 29 COUNTRIES

|                   |   |     | Administrative Measures | Administrative Pecuniary Sanctions | Criminal Sanctions |
|-------------------|---|-----|-------------------------|------------------------------------|--------------------|
| Art. 2            | Primary Insiders-Insider Dealing                    | Yes | 24 of 29                | 21 of 29                           | 28 of 29           |
|                   |   | No  | 5 of 29                 | 8 of 29                            | 1 of 29            |
| Ar. 3 (a)         | Primary Insiders-Disclosure of Inside Information   | Yes | 23 of 29                | 21 of 29                           | 25 of 29           |
|                   |   | No  | 6 of 29                 | 8 of 29                            | 4 of 29            |
| Art. 3 (b)        | Primary Insiders-"Tipping"                          | Yes | 22 of 29                | 21 of 29                           | 27of 29            |
|                   |   | No  | 7 of 29                 | 8 of 29                            | 2 of 29            |
| Art. 4 [Art.2]    | Secondary Insiders-Insider Dealing                  | Yes | 22 of 29                | 20 of 29                           | 22 of 29           |
|                   |   | No  | 7 of 29                 | 9 of 29                            | 7 of 29            |
| Art. 4 [Art.3(a)] | Secondary Insiders-Disclosure of Inside Information | Yes | 21 of 29                | 21 of 29                           | 19 of 29           |
|                   |   | No  | 8 of 29                 | 8 of 29                            | 10 of 29           |
| Art. 4 [Art.3(b)] | Secondary Insiders-"Tipping"                        | Yes | 21 of 29                | 21 of 29                           | 21 of 29           |
|                   |   | No  | 8 of 29                 | 8 of 29                            | 8 of 29            |
| Art. 5            | Market Manipulation                                 | Yes | 24 of 29                | 25 of 29                           | 25 of 29           |
|                   |   | No  | 5 of 29                 | 4 of 29                            | 4 of 29            |
| Art. 6(1)         | Publication of Inside Information                   | Yes | 23 of 29                | 28 of 29                           | 9 of 29            |
|                   |   | No  | 6 of 29                 | 1 of 29                            | 20 of 29           |
| Art. 6(2)         | Information of Delay of Publication                 | Yes | 13 of 29                | 18 of 29                           | 4 of 29            |
|                   |   | No  | 6 of 29                 | 1 of 29                            | 15 of 29           |
|                   |   | N/A | 10 of 29                | 10 of 29                           | 10 of 29           |
| Art. 6(3)         | Disclosure of Inside Information to Third Party     | Yes | 23 of 29                | 27 of 29                           | 9 of 29            |
|                   |   | No  | 6 of 29                 | 2 of 29                            | 20 of 29           |
| Art. 6(3)         | List of Insiders                                    | Yes | 23 of 29                | 27 of 29                           | 6 of 29            |
|                   |   | No  | 6 of 29                 | 2 of 29                            | 23 of 29           |
| Art. 6(4)         | Manager Transactions                                | Yes | 22 of 29                | 26 of 29                           | 6 of 29            |
|                   |   | No  | 7 of 29                 | 3 of 29                            | 23 of 29           |
| Art. 6(4)         | Publication of Manager Transactions                 | Yes | 19 of 29                | 22 of 29                           | 4 of 29            |
|                   |   | No  | 10 of 29                | 7 of 29                            | 25 of 29           |
| Art. 6(5)         | Dissemination of Research                           | Yes | 23 of 29                | 25 of 29                           | 5 of 29            |
|                   |   | No  | 6 of 29                 | 4 of 29                            | 24 of 29           |
| Art. 6(6)         | Market Operators-Adoption of Structural Provisions  | Yes | 22 of 29                | 19 of 29                           | 2 of 29            |
|                   |   | No  | 7 of 29                 | 10 of 29                           | 27 of 29           |

|                              |   |      |          |          |          |
|------------------------------|---|------|----------|----------|----------|
| Art. 6(7)                    | Informing the Public Correctly  | Yes  | 22 of 29 | 18 of 29 | 4 of 29  |
|                              |   | No   | 7 of 29  | 11 of 29 | 25 of 29 |
| Art. 6(8)                    | Dissemination of Statistics by Public Institutions                                    | Yes  | 14 of 29 | 8 of 29  | 1 of 29  |
|                              |   | No   | 14 of 29 | 20 of 29 | 27 of 29 |
|                              |   | N/A  | 1 of 29  | 1 of 29  | 1 of 29  |
| Art. 6(9)                    | Notification of Suspicious Transactions   | Yes  | 20 of 29 | 23 of 29 | 5 of 29  |
|                              |   | No   | 9 of 29  | 6 of 29  | 24 of 29 |
| Art. 13                      | Breach of Professional Secrecy  | Yes  | 19 of 29 | 7 of 29  | 19 of 29 |
|                              |   | No   | 10 of 29 | 22 of 29 | 10 of 29 |
| Art. 14(3) -<br>Art.12.2 (a) | Failure to Co-operate to Investigation-Access to Documents                            | Yes  | 23 of 29 | 21 of 29 | 12 of 29 |
|                              |   | No   | 6 of 29  | 8 of 29  | 17 of 29 |
| Art. 14(3) -<br>Art.12.2 (b) | Failure to Co-operate to Investigation-Demand Information                             | Yes  | 23 of 29 | 21 of 29 | 11 of 29 |
|                              |   | No   | 6 of 29  | 8 of 29  | 18 of 29 |
| Art. 14(3) -<br>Art.12.2 (c) | Failure to Co-operate to Investigation-On Site Inspections                            | Yes  | 22 of 29 | 19 of 29 | 10 of 29 |
|                              |   | No   | 7 of 29  | 10 of 29 | 19 of 29 |
| Art. 14(3) -<br>Art.12.2 (d) | Failure to Co-operate to Investigation-Telephone and Data Traffic Records             | Yes  | 19 of 29 | 16 of 29 | 11 of 29 |
|                              |   | No   | 10 of 29 | 13 of 29 | 18 of 29 |
| Art. 14(3) -<br>Art.12.2 (e) | Failure to Co-operate to Investigation-Cessation of Practice                          | Yes  | 23 of 29 | 15 of 29 | 12 of 29 |
|                              |   | No   | 6 of 29  | 13 of 29 | 17 of 29 |
|                              |   | N/AV | 0 of 29  | 1 of 29  | 0 of 29  |
| Art. 14(3) -<br>Art.12.2 (f) | Failure to Co-operate to Investigation-Suspension of Trading                          | Yes  | 12 of 29 | 17 of 29 | 5 of 29  |
|                              |   | No   | 7 of 29  | 12 of 29 | 24 of 29 |
| Art. 14(3) -<br>Art.12.2 (g) | Failure to Co-operate to Investigation-Freezing/Sequestration of the Assets           | Yes  | 17 of 29 | 11 of 29 | 12 of 29 |
|                              |   | No   | 12 of 29 | 18 of 29 | 17 of 29 |
| Art. 14(3) -<br>Art.12.2 (h) | Failure to Co-operate to Investigation-Temporary Prohibition of Professional Activity | Yes  | 22 of 29 | 13 of 29 | 13 of 29 |
|                              |   | No   | 7 of 29  | 16 of 29 | 16 of 29 |

N/A  
N/AV

Not Applicable  
Not Available

## STATISTICS FROM 29 COUNTRIES

|                  |   |            | Administrative Pecuniary Sanctions                              | Criminal Sanctions                      | Criminal Sanctions  |
|------------------|---|------------|---|---|---|
|                  |   |            |   | Imprisonment                            | Fines and Other Measures  |
| Art. 2           | Primary Insiders-<br>Insider Dealing                        | Min of Max |   | Min 3 months - Max 1 year<br>(Belgium)  |   |
|                  |   | Max of Max |   | 15 years (Latvia)                       |   |
|                  |   | Range      | € 100 (Finland) - €45.000.000<br>(Italy) - Unlimited Fines (UK) |   | € 50 (Belgium)-€ 10.000.000<br>(Ireland)-Unlimited Fines (UK,<br>Germany) |
|                  |   | Yes        |   | 27                                      | 20  |
| Art. 3<br>(a)    | Primary Insiders-<br>Disclosure of<br>Inside<br>Information | Min of Max |   | Min 8 days - Max 1 year<br>(Luxembourg) |   |
|                  |   | Max of Max |   | 15 years (Latvia)                       |   |
|                  |   | Range      | € 100 (Finland) - €45.000.000<br>(Italy) - Unlimited Fines (UK) |   | € 50 (Belgium)-€ 10.000.000<br>(Ireland)-Unlimited Fines (UK,<br>Germany) |
|                  |   | Yes        |   | 24                                      | 16  |
| Art. 3<br>(b)    | Primary Insiders-<br>"Tipping"                              | Min of Max |   | Min 8 days - Max 1 year<br>(Luxembourg) |   |
|                  |   | Max of Max |   | 15 years (Latvia)                       |   |
|                  |   | Range      | € 100 (Finland) - €45.000.000<br>(Italy) - Unlimited Fines (UK) |   | € 50 (Belgium)-€ 10.000.000<br>(Ireland)-Unlimited Fines (UK,<br>Germany) |
|                  |   | Yes        |   | 27                                      | 19  |
| Art.4<br>[Art.2] | Secondary<br>Insiders-Insider<br>Dealing                    | Min of Max |   | Min 8 days - Max 1 year<br>(Luxembourg) |   |
|                  |   | Max of Max |   | 15 years (Latvia)                       |   |
|                  |   | Range      | € 100 (Finland) - €45.000.000<br>(Italy)-Unlimited Fines (UK)   |   | € 50 (Belgium)-€ 10.000.000<br>(Ireland)-Unlimited Fines (UK,<br>Germany) |
|                  |   | Yes        |   | 24                                      | 18  |

|                     |  |       |            |   |  |   |
|---------------------|--|-------|------------|---|--|---|
| Art.4<br>[Art.3(a)] | Secondary Insiders-Disclosure Inside Information | of    | Min of Max |   | Min 8 days - Max 1 year (Luxembourg)   |   |
|                     |  |       | Max of Max |   | 10 years (Ireland, Greece, Cyprus)     |   |
|                     |  |       | Range      | € 100 (Finland) - €45.000.000 (Italy)-Unlimited Fines (UK)                                |  | € 50 (Belgium)-€ 10.000.000 (Ireland)-Unlimited Fines (UK)            |
|                     |  |       | Yes        |   | 20                                     | 14  |
| Art.4<br>[Art.3(b)] | Secondary Insiders-"Tipping"                     |       | Min of Max |   | Min 8 days - Max 1 year (Luxembourg)   |   |
|                     |  |       | Max of Max |   | 10 years (Ireland, Greece, Cyprus)     |   |
|                     |  |       | Range      | € 100 (Finland) - €45.000.000 (Italy)-Unlimited Fines (UK)                                |  | € 50 (Belgium)-€ 10.000.000 (Ireland)-Unlimited Fines (UK)            |
|                     |  |       | Yes        |   | 22                                     | 16  |
| Art. 5              | Market Manipulation                              |       | Min of Max |   | Min 3 months - Max 1 year (Luxembourg) |   |
|                     |  |       | Max of Max |   | 15 years (Latvia)                      |   |
|                     |  |       | Range      | € 100 (Finland) - € 75.000.000 (Italy) - Unlimited Fines (UK)                             |  | € 125 (Luxembourg)-€ 15.000.000 (Italy)-Unlimited Fines (UK, Germany) |
|                     |  |       | Yes        |   | 25                                     | 19  |
| Art. 6(1)           | Publication Inside Information                   | of    | Min of Max |   | 1 year (Ireland)                       |   |
|                     |  |       | Max of Max |   | Min 2 years-Max 8 years (Italy)        |   |
|                     |  |       | Range      | € 100 (Bulgaria, Finland) - € 2.500.000 (Ireland, Portugal, Belgium)-Unlimited Fines (UK) |  | € 5.000 (Ireland)-€ 85.500 (Cyprus)                                   |
|                     |  |       | YES        |   | 6                                      | 6   |
| Art. 6(2)           | Information Delay Publication                    | of of | Min of Max |   | 2 years (Finland)                      |   |
|                     |  |       | Max of Max |   | Min 2 years-Max 8 years (Italy)        |   |
|                     |  |       | Range      | € 100 (Finland) - €2.500.000 (Belgium)  |  | € 85.500 (Cyprus)   |
|                     |  |       | YES        |   | 3                                      | 3   |
| Art. 6(3)           | Disclosure Inside                                | of    | Min of Max |   | 1 year (Ireland)                       |   |
|                     |  |       | Max of Max |   | 5 years (Poland & Cyprus)              |   |

|           |                                     |            |   |  |  |
|-----------|-------------------------------------|------------|---|--|--|
|           | Information to Third Party          | Range      | € 100 (Finland) - €2.500.000 (Belgium, Ireland, Portugal)- Unlimited Fines (UK) |  | € 5.000 (Ireland)-€ 1.370.000 (Poland)       |
|           |                                     | YES        |   | 7  | 6  |
| Art. 6(3) | List of Insiders                    | Min of Max |   | 1 year (Ireland)                           |  |
|           |                                     | Max of Max |   | 2 years (France, Iceland, the Netherlands) |  |
|           |                                     | Range      | € 50 (Finland) - €2.500.000 (Belgium, Ireland, Portugal)- Unlimited Fines (UK)  |  | € 5.000 (Ireland)-€ 300.000 (France)         |
|           |                                     | YES        |   | 4  | 5  |
| Art. 6(4) | Manager Transactions                | Min of Max |   | 1 year (Ireland, Norway)                   |  |
|           |                                     | Max of Max |   | 2 years (Iceland)                          |  |
|           |                                     | Range      | € 50 (Finland) - € 2.500.000 (Belgium, Ireland)-Unlimited Fines (UK)            |  | € 5.000 (Ireland)                            |
|           |                                     | YES        |   | 3  | 2  |
| Art. 6(4) | Publication of Manager Transactions | Min of Max |   | 1 year (Ireland, Norway)                   |  |
|           |                                     | Max of Max |   | 2 years (Iceland)                          |  |
|           |                                     | Range      | € 50 (Finland) - € 2.500.000 (Belgium, Ireland)-Unlimited Fines (UK)            |  | € 5.000 (Ireland)                            |
|           |                                     | YES        |   | 3  | 3  |
| Art. 6(5) | Dissemination of Research           | Min of Max |   | 1 year (Ireland, Norway)                   |  |
|           |                                     | Max of Max |   | 1 year (Ireland, Norway)                   |  |
|           |                                     | Range      | € 118 (Iceland)-€2.500.000 (Belgium, Ireland)-Unlimited Fines (UK)              |  | € 5.000 (Ireland)-€ 16,750 (the Netherlands) |
|           |                                     | YES        |   | 3  | 4  |
| Art.      | Market                              | Min of Max |   | 1 year (Ireland, Norway)                   |  |

|           |  |            |   |                                 |   |
|-----------|--|------------|---|---------------------------------|---|
| 6(6)      | Operators-Adoption of Structural Provisions        | Max of Max |   | 2 years (the Netherlands)       |   |
|           |  | Range      | € 118 (Iceland) - €2.500.000 (Portugal,Ireland,Belgium)             |                                 | € 5.000 (Ireland)-€ 16,750 (the Netherlands)                |
|           |  | YES        |   | 3                               | 3   |
| Art. 6(7) | Informing the Public Correctly                     | Min of Max |   | 1 year (Ireland)                |   |
|           |  | Max of Max |   | 7 years (UK)                    |   |
|           |  | Range      | € 118 (Iceland)-€2.500.000 (Belgium, Ireland)-Unlimited Fines (UK)  |                                 | € 5.000 (Ireland)-€ 85.500 (Cyprus)-Unlimited Fines (UK)    |
|           |  | YES        |   | 4                               | 4   |
| Art. 6(8) | Dissemination of Statistics by Public Institutions | Min of Max |   | 4 years (Sweden)                |   |
|           |  | Max of Max |   | 4 years (Sweden)                |   |
|           |  | Range      | € 125 (Luxembourg) - €2.500.000 (Belgium, Portugal)                 |                                 | Not applicable  |
|           |  | YES        |   | 1                               | 0   |
| Art. 6(9) | Notification of Suspicious Transactions            | Min of Max |   | 1 year (France, Ireland,Norway) |   |
|           |  | Max of Max |   | 1 year (France, Ireland,Norway) |   |
|           |  | Range      | € 100 (Bulgaria)-€2.500.000 (Belgium, Ireland)-Unlimited Fines (UK) |                                 | € 5.000 (Ireland)-€ 15.000 (France)                         |
|           |  | YES        |   | 3                               | 5   |
| Art. 13   | Breach of Professional Secrecy                     | Min of Max |   | 6 months (Denmark)              |   |
|           |  | Max of Max |   | 5 years (Poland,Italy, Ireland) |   |
|           |  | Range      | € 125 (Luxembourg) - €600.000 (Slovakia)                            |                                 | € 8.500 (Cyprus)-€274.000 (Poland)-Unlimited Fine (Germany) |
|           |  | YES        |   | 16                              | 15  |

|                            |  |            |   |                                  |                                       |
|----------------------------|--|------------|---|----------------------------------|---------------------------------------|
| Art. 14(3) - Art.12. 2 (a) | Failure to Co-operate to Investigation- Access to Documents                | Min of Max |   | 1 year (Norway,Belgium, Ireland) |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland)-€2.500.000 (Belgium)-Unlimited Fines (UK) |                                  | € 250 (Belgium)-€ 2.500.000 (Belgium) |
|                            |  | YES        |   | 11                               | 11                                    |
| Art. 14(3) - Art.12. 2 (b) | Failure to Co-operate to Investigation- Demand Information                 | Min of Max |   | 1 year (Norway, Ireland, Greece) |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland)-€2.500.000 (Belgium)-Unlimited Fines (UK) |                                  | € 2.330 (Malta)-€ 932.000 (Malta)     |
|                            |  | YES        |   | 10                               | 10                                    |
| Art. 14(3) - Art.12. 2 (c) | Failure to Co-operate to Investigation-On Site Inspections                 | Min of Max |   | 3 months (UK)                    |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland)-€2.500.000 (Belgium)-Unlimited Fines (UK) |                                  | € 2.330 (Malta)-€ 932.000 (Malta)     |
|                            |  | YES        |   | 9                                | 9                                     |
| Art. 14(3) - Art.12. 2 (d) | Failure to Co-operate to Investigation- Telephone and Data Traffic Records | Min of Max |   | 1 year (Norway, Ireland)         |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland)-€2.500.000 (Belgium)-Unlimited Fines (UK) |                                  | € 2.330 (Malta)-€ 932.000 (Malta)     |
|                            |  | YES        |   | 10                               | 9                                     |
| Art. 14(3) - Art.12. 2 (e) | Failure to Co-operate to Investigation- Cessation of Practice              | Min of Max |   | 6 months (Czech Republic)        |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland) - 2.500.000 (Belgium) €                   |                                  | € 2.330 (Malta)-€ 932.000 (Malta)     |
|                            |  | YES        |   | 9                                | 9                                     |
| Art. 14(3) - Art.12. 2 (f) | Failure to Co-operate to Investigation- Suspension of Trading              | Min of Max |   | 2 years (Portugal)               |                                       |
|                            |  | Max of Max |   | Min 1 year-max 8 years (Italy)   |                                       |
|                            |  | Range      | € 118 (Iceland) - €2.500.000 (Belgium)                    |                                  | € 2.330 (Malta)-€ 932.000 (Malta)     |

|                           |  |            |  |                                |                                   |
|---------------------------|--|------------|--|--------------------------------|-----------------------------------|
|                           |  | YES        |  | 3                              | 3                                 |
| Art. 14(3) - Art.12.2 (g) | Failure to Cooperate to Investigation-Freezing/Sequestration of the Assets           | Min of Max |  | 2 years (Portugal, France)     |                                   |
|                           |  | Max of Max |  | Min 1 year-max 8 years (Italy) |                                   |
|                           |  | Range      | € 118 (Iceland) - €2.500.000 (Belgium) |                                | € 2.330 (Malta)-€ 932.000 (Malta) |
|                           |  | YES        |  | 5                              | 11                                |
| Art. 14(3) - Art.12.2 (h) | Failure to Cooperate to Investigation-Temporary Prohibition of Professional Activity | Min of Max |  | 6 months (Czech Republic)      |                                   |
|                           |  | Max of Max |  | Min 1 year-max 8 years (Italy) |                                   |
|                           |  | Range      | € 118 (Iceland) - €2.500.000 (Belgium) |                                | € 2.330 (Malta)-€ 932.000 (Malta) |
|                           |  | YES        |  | 8                              | 10                                |

| Progr. Stampa | Progr. n. Country | Progr. n. Art. | ARTICLE                                 | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES                               |
|---------------|-------------------|----------------|---|----------------|---|-------------------------------|---------------------------------|---|
| 1             | 1                 | 1              | Art 2. Primary Insiders Insider Dealing | Austria        | No  | Yes - Details in the Workbook | MAX 5 years                     | No  |
| 2             | 28                | 1              | Art 2. Primary Insiders Insider Dealing | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | MIN 3 months MAX 1 year         | MIN € 50 MAX € 10,000 or 3 times the Profit                               |
| 3             | 55                | 1              | Art 2. Primary Insiders Insider Dealing | Bulgaria       | MIN BGN 20,000 MAX BGN 50,000 (€ 10,000 ~ € 25,000)<br>Legal entities: MIN BGN 50,000 MAX BGN 100,000 | Yes - Details in the Workbook | No                              | No  |
| 4             | 82                | 1              | Art 2. Primary Insiders Insider Dealing | Czech Republic | MAX € 350,000   | Yes - Details in the Workbook | MAX 12 years                    | MAX € 180,000   |
| 5             | 109               | 1              | Art 2. Primary Insiders Insider Dealing | Cyprus         | MAX CYP 1,000,000 (€ 1,710,000)   | No                            | MAX 10 years                    | MAX CYP 100,000 + automatic deprivation of the right to trade for 5 years |
| 6             | 136               | 1              | Art 2. Primary Insiders Insider Dealing | Denmark        | No  | Yes - Details in the Workbook | MAX 4 years                     | No  |
| 7             | 163               | 1              | Art 2. Primary Insiders Insider Dealing | Estonia        | No  | Yes - Details in the Workbook | MAX 3 years                     | Fines - amount not available  |
| 8             | 190               | 1              | Art 2. Primary Insiders Insider Dealing | Finland        | Min. 100 max 10.000 /Legal entities Min.500 Max 200.000   | Yes - Details in the Workbook | MAX 4 years                     | Fines - amount not available  |
| 9             | 217               | 1              | Art 2. Primary Insiders Insider Dealing | France         | MAX € 1,500,000 or 10 times the Profit  | Yes - Details in the Workbook | MAX 2 years                     | MIN the Profit MAX € 1,500,000 or 10 times the Profit                     |
| 10            | 244               | 1              | Art 2. Primary Insiders Insider Dealing | Germany        | No  | Yes - Details in the Workbook | MAX 5 years                     | unlimited fine (confiscation of gained profits)                           |
| 11            | 271               | 1              | Art 2. Primary Insiders Insider Dealing | Greece         | MIN € 10,000 MAX € 6,000,000  | Yes - Details in the Workbook | MIN 1 MAX 10 years              | No  |
| 12            | 298               | 1              | Art 2.                                  | Hungary        | MIN € 8,000 MAX € 400,000 or  | No                            | MAX 3 years                     | No  |

|    |                      |                   |   |                    |  |                                  |  |  |
|----|----------------------|-------------------|---|--------------------|--|----------------------------------|--|--|
|    |                      |                   | Primary Insiders<br>Insider Dealing           |                    | 4 times the Profit   |                                  |  |  |
| 13 | 325                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Iceland            | MIN ISK 10,000 MAX ISK<br>20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - €<br>588,235)    | Yes - Details in the<br>Workbook | MAX 6 years                            | No   |
| 14 | 352                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Ireland            | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter   | Yes - Details in the<br>Workbook | MAX 10 years                           | MAX € 10,000,000   |
| 15 | 379                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Italy              | MIN € 100,000 MAX €<br>45,000,000 or 10 times the<br>Profit<br>Legal entities: MIN € 100,000<br>MAX € 45,000,000 or 10 times<br>the Profit | Yes - Details in the<br>Workbook | MIN 2 MAX 12 years                     | MIN € 20,000 MAX<br>€ 9,000,000 or 10<br>times the Profit  |
| 16 |                      |                   |   |                    | Art 2. Primary Insiders - Insider<br>Dealing   |                                  |  |  |
| 17 | Progr. n.<br>Country | Progr.<br>n. Art. | ARTICLE                                       | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES   |
| 18 | 406                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Latvia             | No   | Yes - Details in the<br>Workbook | MAX 15 years                           | MAX 200 times the<br>minimum monthly<br>wage   |
| 19 | 433                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Lithuania          | MIN 1,000 MAX 5,000 Lt<br>(MIN € 290 MAX € 1,450)<br>Legal entities: MAX 100,000 Lt<br>(€ 30,000) or 3 times the Profit                    | Yes - Details in the<br>Workbook | MAX 2 years                            | No   |
| 20 | 460                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Luxembourg         | No   | Yes - Details in the<br>Workbook | MIN 3 months MAX 2<br>years            | MIN € 125 MAX €<br>1,500,000 or 10<br>times the Profit   |
| 21 | 487                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Malta              | MAX Malta lire 40,000 (€<br>93,200)  | Yes - Details in the<br>Workbook | MAX 7 years                            | MIN Malta liri 1,000<br>MAX Malta liri<br>400,000<br>(€ 2,330 - €<br>932,000) or up to 3<br>times the Profit |
| 22 | 514                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | the<br>Netherlands | MAX € 96,000   | Yes - Details in the<br>Workbook | MAX 2 years                            | MAX € 16,750 and<br>the Profit   |
| 23 | 541                  | 1                 | Art 2.<br>Primary Insiders<br>Insider Dealing | Norway             | EQUAL TO the Profit  | No                               | MAX 6 years                            | Fines - amount not<br>available  |
| 24 | 568                  | 1                 | Art 2.  | Poland             | No   | No                               | MIN 6 months MAX 8                     | MAX PLN 5,000,000  |

|    |     |   |  |          |   |                                  |  |  |
|----|-----|---|--|----------|---|----------------------------------|--|--|
|    |     |   | Primary Insiders<br>Insider Dealing                                  |          |   |                                  | years                                  |  |
| 25 | 595 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Portugal | MIN € 25,000 MAX €<br>2,500,000   | Yes - Details in the<br>Workbook | MAX 3 years                            | MIN 10 days MAX<br>360 days                              |
| 26 | 622 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Romania  | MIN 50% MAX 100% the value<br>of the transactions   | Yes - Details in the<br>Workbook | MIN 6 months MAX 5<br>years            | MIN 50% MAX<br>100% the value of the<br>transactions     |
| 27 | 649 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Slovakia | A fine up to SKK 20,000,000 (€<br>600,000) or the Profit  | Yes - Details in the<br>Workbook | MIN 3 MAX 8 years                      | No   |
| 28 | 676 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Slovenia | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400   | Yes - Details in the<br>Workbook | No                                     | Yes - Details in the<br>Workbook                         |
| 29 | 703 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Spain    | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | MIN 1 MAX 6 years                      | MIN 1 time MAX 3<br>times the Profit                     |
| 30 | 730 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | Sweden   | No  | No                               | MAX 4 years                            | No   |
| 31 | 757 | 1 | Art 2.<br>Primary Insiders<br>Insider Dealing                        | U.K.     | Unlimited fines   | Yes - Details in the<br>Workbook | MAX 7 years                            | unlimited fines  |
| 32 |     |   |  |          | Art.3 (a) Primary Insiders -<br>Disclosure of Inside Information  |                                  |  |  |
| 33 |     |   |  | COUNTRY  | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 34 | 2   | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Austria  | No  | Yes - Details in the<br>Workbook | MAX 5 years                            | No   |
| 35 | 29  | 2 | Art.3 (a)  | Belgium  | MIN € 2,500 MAX € 2,500,000   | Yes - Details in the             | MIN 3 months MAX 1                     | MIN € 50 MAX €   |

|    |     |   | Primary Insiders Disclosure of Inside Information              |                | or 3 times the Profit   | Workbook                      | year                    | 10,000 or 3 times the Profit  |
|----|-----|---|--|----------------|---|-------------------------------|-------------------------|---|
| 36 | 56  | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Bulgaria       | MIN BGN 20,000 MAX BGN 50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000 MAX BGN 100,000 | Yes - Details in the Workbook | No                      | No  |
| 37 | 83  | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Czech Republic | MAX € 350,000   | Yes - Details in the Workbook | No                      | No  |
| 38 | 110 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Cyprus         | MAX CYP 1,000,000 (€ 1,710,000)   | No                            | MAX 10 years            | MAX CYP 100,000 + automatic deprivation of the right to trade for 5 years |
| 39 | 137 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Denmark        | No  | Yes - Details in the Workbook | MAX 1 year and 6 months | No  |
| 40 | 164 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Estonia        | No  | Yes - Details in the Workbook | No                      | No  |
| 41 | 191 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Finland        | MIN 100 MAX 10.000 / Legal entities MIN 500 MAX 200.000   | Yes - Details in the Workbook | No                      | No  |
| 42 | 218 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | France         | MAX € 1,500,000 or 10 times the Profit  | Yes - Details in the Workbook | MAX 1 year              | MIN the Profit MAX € 150,000 or 10 times the Profit                       |
| 43 | 245 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Germany        | No  | Yes - Details in the Workbook | MAX 5 years             | unlimited fine (confiscation of gained profits)                           |
| 44 | 272 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Greece         | MIN € 10,000 MAX € 6,000,000  | Yes - Details in the Workbook | MIN 1 MAX 10 years      | No  |
| 45 | 299 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Hungary        | MIN € 8,000 MAX € 400,000 or 4 times the Profit   | No                            | MAX 3 years             | No  |
| 46 | 326 | 2 | Art.3 (a)<br>Primary Insiders Disclosure of Inside Information | Iceland        | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000               | Yes - Details in the Workbook | MAX 6 years             | No  |

|    |     |   |  |                    |  |                                  |  |  |
|----|-----|---|--|--------------------|--|----------------------------------|--|--|
|    |     |   | Information  |                    | MAX ISK 50,000,000 (€ 588 - € 588,235)   |                                  |  |  |
| 47 | 353 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Ireland            | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter   | Yes - Details in the<br>Workbook | MAX 10 years                           | MAX € 10,000,000   |
| 48 | 380 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Italy              | MIN € 100,000 MAX €<br>45,000,000 or 10 times the<br>Profit<br>Legal entities: MIN € 100,000<br>MAX € 45,000,000 or 10 times<br>the Profit | Yes - Details in the<br>Workbook | MIN 2 MAX 12 years                     | MIN € 20,000 MAX<br>€ 9,000,000 or 10<br>times the Profit  |
| 49 |     |   |  |                    | Art.3 (a) Primary Insiders -<br>Disclosure of Inside Information   |                                  |  |  |
| 50 |     |   |  | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES   |
| 51 | 407 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Latvia             | No   | No                               | MAX 15 years                           | MAX 200 times the<br>minimum monthly<br>wage   |
| 52 | 434 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Lithuania          | MIN 1,000 MAX 5,000 Lt<br>(MIN € 290 MAX € 1,450)<br>Legal entities: MAX 100,000 Lt<br>(€ 30,000) or 3 times the Profit                    | Yes - Details in the<br>Workbook | MAX 2 years                            | No   |
| 53 | 461 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Luxembourg         | No   | Yes - Details in the<br>Workbook | MIN 8 days MAX 1<br>year               | MIN € 125 MAX €<br>25,000  |
| 54 | 488 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Malta              | MAX Malta lire 40,000 (€<br>93,200)  | Yes - Details in the<br>Workbook | MAX 7 years                            | MIN Malta liri 1,000<br>MAX Malta liri<br>400,000<br>(€ 2,330 - €<br>932,000) or up to 3<br>times the Profit |
| 55 | 515 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | the<br>Netherlands | MAX € 96,000   | Yes - Details in the<br>Workbook | MAX 2 years                            | MAX € 16,750 and<br>the Profit   |
| 56 | 542 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Norway             | EQUAL TO the Profit  | No                               | MAX 1 year                             | Fines - amount not<br>available  |
| 57 | 569 | 2 | Art.3 (a)<br>Primary Insiders  | Poland             | No   | No                               | MAX 3 years                            | MAX PLN 1,000,000  |

|    |     |   |  |          |   |                                  |  |  |
|----|-----|---|--|----------|---|----------------------------------|--|--|
|    |     |   | Disclosure of Inside Information                                     |          |   |                                  |  |  |
| 58 | 596 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Portugal | MIN € 25,000 MAX €<br>2,500,000   | Yes - Details in the<br>Workbook | MAX 3 years                            | MIN 10 days MAX<br>360 days                              |
| 59 | 623 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Romania  | MIN 50% MAX 100% the value<br>of the transactions   | Yes - Details in the<br>Workbook | MIN 6 months MAX 5<br>years            | MIN 50% MAX<br>100% the value of the<br>transactions     |
| 60 | 650 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Slovakia | A fine up to SKK 20,000,000 (€<br>600,000) or the Profit  | Yes - Details in the<br>Workbook | MIN 3 MAX 8 years                      | No   |
| 61 | 677 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Slovenia | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400   | Yes - Details in the<br>Workbook | No                                     | No   |
| 62 | 704 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Spain    | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | MIN 1 MAX 6 years                      | MIN 1 time MAX 3<br>times the Profit                     |
| 63 | 731 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | Sweden   | No  | No                               | MAX 4 years                            | No   |
| 64 | 758 | 2 | Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | U.K.     | Unlimited fines   | Yes - Details in the<br>Workbook | MAX 7 years                            | unlimited fines  |
| 65 |     |   |  |          | Art.3 (b) Primary Insiders -<br>"Tipping"   |                                  |  |  |
| 66 |     |   |  | COUNTRY  | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |

|    |     |   |  |                   |   |                                  |                            |   |
|----|-----|---|--|-------------------|---|----------------------------------|----------------------------|---|
| 67 | 3   | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Austria           | No  | Yes - Details in the<br>Workbook | MAX 5 years                | No  |
| 68 | 30  | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit  | Yes - Details in the<br>Workbook | MIN 3 months MAX 1<br>year | MIN € 50 MAX €<br>10,000 or 3 times the<br>Profit                                     |
| 69 | 57  | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Bulgaria          | MIN BGN 20,000 MAX BGN<br>50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000<br>MAX BGN 100,000                             | Yes - Details in the<br>Workbook | No                         | No  |
| 70 | 84  | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Czech<br>Republic | MAX € 350,000   | Yes - Details in the<br>Workbook | MAX 12 years               | MAX € 180,000   |
| 71 | 111 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Cyprus            | MAX CYP 1,000,000 (€<br>1,710,000)  | No                               | MAX 10 years               | MAX CYP 100,000<br>+ automatic<br>deprivation of the<br>right to trade for 5<br>years |
| 72 | 138 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Denmark           | No  | Yes - Details in the<br>Workbook | MAX 1 year and 6<br>months | No  |
| 73 | 165 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Estonia           | No  | Yes - Details in the<br>Workbook | MAX 3 years                | Fines - amount not<br>available   |
| 74 | 192 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Finland           | MIN 100 MAX 10.000/Legal<br>entities MIN 500 MAX 200.000  | Yes - Details in the<br>Workbook | MAX 4 years                | Fines - amount not<br>available   |
| 75 | 219 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | France            | MAX € 1,500,000 or 10 times<br>the Profit   | Yes - Details in the<br>Workbook | MAX 2 years                | MIN the Profit MAX<br>€ 150,000 or 10<br>times the Profit                             |
| 76 | 246 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Germany           | No  | Yes - Details in the<br>Workbook | MAX 5 years                | unlimited fine<br>(confiscation of<br>gained profits)                                 |
| 77 | 273 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Greece            | MIN € 10,000 MAX €<br>6,000,000   | Yes - Details in the<br>Workbook | MIN 1 MAX 10 years         | No  |
| 78 | 300 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Hungary           | MIN € 8,000 MAX € 400,000 or<br>4 times the Profit  | No                               | MAX 3 years                | No  |
| 79 | 327 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping" | Iceland           | MIN ISK 10,000 MAX ISK<br>20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - €<br>588,235) | Yes - Details in the<br>Workbook | MAX 6 years                | No  |
| 80 | 354 | 3 | Art.3 (b)<br>Primary Insiders              | Ireland           | MAX € 2,500,000<br>+ Costs incurred by the  | Yes - Details in the<br>Workbook | MAX 10 years               | MAX € 10,000,000  |

|    |     |   |                                      |                 |  |                               |                                    |   |
|----|-----|---|--------------------------------------|-----------------|--|-------------------------------|------------------------------------|---|
|    |     |   | "Tipping"                            |                 | Regulator in investigating the matter  |                               |                                    |   |
| 81 | 381 | 3 | Art.3 (b) Primary Insiders "Tipping" | Italy           | MIN € 100,000 MAX € 45,000,000 or 10 times the Profit<br>Legal entities: MIN € 100,000 MAX € 45,000,000 or 10 times the Profit | Yes - Details in the Workbook | MIN 2 MAX 12 years                 | MIN € 20,000 MAX € 9,000,000 or 10 times the Profit   |
| 82 |     |   |                                      |                 | Art.3 (b) Primary Insiders - "Tipping"   |                               |                                    |   |
| 83 |     |   |                                      | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES  |
| 84 | 408 | 3 | Art.3 (b) Primary Insiders "Tipping" | Latvia          | No   | No                            | MAX 15 years                       | MAX 200 times the minimum monthly wage  |
| 85 | 435 | 3 | Art.3 (b) Primary Insiders "Tipping" | Lithuania       | MIN Lt 1,000 MAX Lt 5,000 (€ 290 - € 1,450)  | Yes - Details in the Workbook | MAX 2 years                        | No  |
| 86 | 462 | 3 | Art.3 (b) Primary Insiders "Tipping" | Luxembourg      | No   | Yes - Details in the Workbook | MIN 8 days MAX 1 year              | MIN € 125 MAX € 25,000  |
| 87 | 489 | 3 | Art.3 (b) Primary Insiders "Tipping" | Malta           | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | MAX 7 years                        | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 88 | 516 | 3 | Art.3 (b) Primary Insiders "Tipping" | the Netherlands | MAX € 96,000   | Yes - Details in the Workbook | MAX 2 years                        | MAX € 16,750 and the Profit   |
| 89 | 543 | 3 | Art.3 (b) Primary Insiders "Tipping" | Norway          | EQUAL TO the Profit  | No                            | MAX 1 year                         | Fines - amount not available  |
| 90 | 570 | 3 | Art.3 (b) Primary Insiders "Tipping" | Poland          | No   | No                            | MAX 3 years                        | MAX PLN 2,000,000   |
| 91 | 597 | 3 | Art.3 (b) Primary Insiders "Tipping" | Portugal        | MIN € 25,000 MAX € 2,500,000   | Yes - Details in the Workbook | MAX 3 years                        | MIN 10 days MAX 360 days  |
| 92 | 624 | 3 | Art.3 (b) Primary Insiders "Tipping" | Romania         | MIN 50% MAX 100% the value of the transactions   | Yes - Details in the Workbook | MIN 6 months MAX 5 years           | MIN 50% MAX 100% the value of the transactions  |
| 93 | 651 | 3 | Art.3 (b) Primary Insiders           | Slovakia        | A fine up to SKK 20,000,000 (€ 600,000) or the Profit  | Yes - Details in the Workbook | MIN 3 MAX 8 years                  | No  |

|     |     |   |   |                   |   |                                  |  |  |
|-----|-----|---|---|-------------------|---|----------------------------------|--|--|
|     |     |   | "Tipping"   |                   |   |                                  |  |  |
| 94  | 678 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping"                | Slovenia          | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400   | No                               | No                                     | No   |
| 95  | 705 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping"                | Spain             | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | MIN 1 MAX 6 years                      | MIN 1 time MAX 3<br>times the Profit                     |
| 96  | 732 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping"                | Sweden            | No  | No                               | MAX 4 years                            | No   |
| 97  | 759 | 3 | Art.3 (b)<br>Primary Insiders<br>"Tipping"                | U.K.              | Unlimited fines   | Yes - Details in the<br>Workbook | MAX 7 years                            | unlimited fines  |
| 98  |     |   |   |                   | Art. 4 [Art. 2] Secondary Insider<br>- (Insider Dealing)  |                                  |  |  |
| 99  |     |   |   | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 100 | 4   | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Austria           | No  | Yes-Details in the<br>Workbook   | MAX 3 years                            | MAX € 180 000  |
| 101 | 31  | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit  | Yes - Details in the<br>Workbook | MIN 3 months MAX 1<br>year             | MIN € 50 MAX €<br>10,000 or 3 times the<br>Profit        |
| 102 | 58  | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Bulgaria          | MIN BGN 20,000 MAX BGN<br>50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000<br>MAX BGN 100,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 103 | 85  | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Czech<br>Republic | MAX € 350,000   | Yes - Details in the<br>Workbook | MAX 12 years                           | MAX € 180,000  |
| 104 | 112 | 4 | Art. 4 [Art. 2]<br>Secondary Insider                      | Cyprus            | MAX CYP 1,000,000 (€<br>1,710,000)  | No                               | MAX 10 years                           | MAX CYP 100,000<br>+ automatic                           |

|     |     |   | (Insider Dealing)                                   |         |  |                               |                                    | deprivation of the right to trade for 5 years       |
|-----|-----|---|---|---------|--|-------------------------------|------------------------------------|---|
| 105 | 139 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Denmark | No   | Yes - Details in the Workbook | MAX 4 years                        | No  |
| 106 | 166 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Estonia | No   | Yes - Details in the Workbook | MAX 3 years                        | Fines - amount not available                        |
| 107 | 193 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Finland | MIN 100 MAX 10.000 / Legal entities MIN 500 MAX 200.000  | Yes - Details in the Workbook | MAX 4 years                        | Fines - amount not available                        |
| 108 | 220 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | France  | MAX € 1,500,000 or 10 times the Profit   | Yes - Details in the Workbook | Max 1 year                         | MIN the Profit MAX € 150 000 or 10 times the Profit |
| 109 | 247 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Germany | No   | Yes - Details in the Workbook | MAX 5 years                        | unlimited fine (confiscation of gained profits)     |
| 110 | 274 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Greece  | MIN € 10,000 MAX € 6,000,000   | Yes - Details in the Workbook | MIN 1 MAX 10 years                 | No  |
| 111 | 301 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Hungary | MIN € 8,000 MAX € 400,000 or 4 times the Profit  | No                            | MAX 3 years                        | No  |
| 112 | 328 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Iceland | No   | Yes - Details in the Workbook | No                                 | No  |
| 113 | 355 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Ireland | MAX € 2,500,000 + Costs incurred by the Regulator in investigating the matter  | Yes - Details in the Workbook | MAX 10 years                       | MAX € 10,000,000                                    |
| 114 | 382 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing) | Italy   | MIN € 100,000 MAX € 45,000,000 or 10 times the Profit<br>Legal entities: MIN € 100,000 MAX € 45,000,000 or 10 times the Profit | Yes - Details in the Workbook | No                                 | No  |
| 115 |     |   |   |         | Art. 4 [Art. 2] Secondary Insider - (Insider Dealing)  |                               |                                    |   |
| 116 |     |   |   | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES      |
| 117 | 409 | 4 | Art. 4 [Art. 2] Secondary Insider                   | Latvia  | No   | Yes - Details in the Workbook | MAX 15 years                       | MAX 200 times the minimum monthly                   |

|     |     |   | (Insider Dealing)   |                    |  |                                  |                             | wage   |
|-----|-----|---|---|--------------------|--|----------------------------------|-----------------------------|--|
| 118 | 436 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Lithuania          | MIN 1,000 MAX 5,000 Lt<br>(MIN € 290 MAX € 1,450)<br>Legal entities: MAX 100,000 Lt<br>(€ 30,000) or 3 times the Profit  | Yes - Details in the<br>Workbook | MAX 2 years                 | No   |
| 119 | 463 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Luxembourg         | No   | Yes - Details in the<br>Workbook | MIN 8 days MAX 1<br>year    | MIN € 125 MAX €<br>150,000 or 10 times<br>the Profit   |
| 120 | 490 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Malta              | MAX Malta lire 40,000 (€<br>93,200)  | Yes - Details in the<br>Workbook | MAX 7 years                 | MIN Malta liri 1,000<br>MAX Malta liri<br>400,000<br>(€ 2,330 - €<br>932,000) or up to 3<br>times the Profit |
| 121 | 517 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | the<br>Netherlands | MAX € 96,000   | Yes - Details in the<br>Workbook | MAX 2 years                 | MAX € 16,750 and<br>the Profit   |
| 122 | 544 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Norway             | EQUAL TO the Profit  | No                               | MAX 6 years                 | Fines - amount not<br>available  |
| 123 | 571 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Poland             | No   | No                               | MIN 3 months MAX 5<br>years | MAX PLN 5,000,000  |
| 124 | 598 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Portugal           | MIN € 25,000 MAX €<br>2,500,000  | Yes - Details in the<br>Workbook | MAX 2 years                 | MIN 10 days MAX<br>360 days  |
| 125 | 625 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Romania            | MIN 50% MAX 100% the value<br>of the transactions  | Yes - Details in the<br>Workbook | MIN 6 months MAX 5<br>years | MIN 50% MAX<br>100% the value of the<br>transactions   |
| 126 | 652 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Slovakia           | A fine up to SKK 20,000,000 (€<br>600,000) or the Profit   | Yes - Details in the<br>Workbook | MIN 3 MAX 8 years           | No   |
| 127 | 679 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Slovenia           | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400  | No                               | No                          | No   |
| 128 | 706 | 4 | Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Spain              | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the | Yes - Details in the<br>Workbook | No                          | No   |

|     |     |   |   |                |   |                               |                                    |   |
|-----|-----|---|---|----------------|---|-------------------------------|------------------------------------|---|
|     |     |   |   |                | offender's own funds or 2% of the total funds used or € 150,253.03)                                   |                               |                                    |   |
| 129 | 733 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing)                     | Sweden         | No  | No                            | MAX 4 years                        | No  |
| 130 | 760 | 4 | Art. 4 [Art. 2] Secondary Insider (Insider Dealing)                     | U.K.           | Unlimited fines   | Yes - Details in the Workbook | MAX 7 years                        | unlimited fines   |
| 131 |     |   |   |                | Art. 4 [Art. 3(a)] Secondary Insider - (Disclosure of Inside Information)                             |                               |                                    |   |
| 132 |     |   |   | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES                            |
| 133 | 5   | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Austria        | No  | Yes-Details in the Workbook   | MAX 3 years                        | MAX € 180 000   |
| 134 | 32  | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | MIN 3 months MAX 1 year            | MIN € 50 MAX € 10,000 or 3 times the Profit                               |
| 135 | 59  | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Bulgaria       | MIN BGN 20,000 MAX BGN 50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000 MAX BGN 100,000 | Yes - Details in the Workbook | No                                 | No  |
| 136 | 86  | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Czech Republic | MAX € 350,000   | Yes - Details in the Workbook | No                                 | No  |
| 137 | 113 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Cyprus         | MAX CYP 1,000,000 (€ 1,710,000)   | No                            | MAX 10 years                       | MAX CYP 100,000 + automatic deprivation of the right to trade for 5 years |
| 138 | 140 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Denmark        | No  | Yes - Details in the Workbook | MAX 1 year and 6 months            | No  |
| 139 | 167 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Estonia        | No  | Yes - Details in the Workbook | No                                 | No  |
| 140 | 194 | 5 | Art. 4 [Art. 3(a)]  | Finland        | MIN 100 MAX 10.000 /Legal   | Yes - Details in the          | No                                 | No  |

|     |     |   |   |           |  |                               |                                    |   |
|-----|-----|---|---|-----------|--|-------------------------------|------------------------------------|---|
|     |     |   | Secondary Insider (Disclosure of Inside Information)                    |           | entities MIN 500 MAX 200.000   | Workbook                      |                                    |   |
| 141 | 221 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | France    | MAX € 1,500,000 or 10 times the Profit   | Yes - Details in the Workbook | Max 1 year                         | MIN the Profit MAX € 150 000 or 10 times the Profit |
| 142 | 248 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Germany   | MAX € 200,000  | Yes - Details in the Workbook | No                                 | No  |
| 143 | 275 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Greece    | MIN € 10,000 MAX € 6,000,000   | Yes - Details in the Workbook | MIN 1 MAX 10 years                 | No  |
| 144 | 302 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Hungary   | MIN € 8,000 MAX € 400,000 or 4 times the Profit  | No                            | MAX 3 years                        | No  |
| 145 | 329 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Iceland   | No   | Yes - Details in the Workbook | No                                 | No  |
| 146 | 356 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Ireland   | MAX € 2,500,000 + Costs incurred by the Regulator in investigating the matter  | Yes - Details in the Workbook | MAX 10 years                       | MAX € 10,000,000                                    |
| 147 | 383 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Italy     | MIN € 100,000 MAX € 45,000,000 or 10 times the Profit<br>Legal entities: MIN € 100,000 MAX € 45,000,000 or 10 times the Profit | Yes - Details in the Workbook | No                                 | No  |
| 148 |     |   |   |           | Art. 4 [Art. 3(a)] Secondary Insider - (Disclosure of Inside Information)  |                               |                                    |   |
| 149 |     |   |   | COUNTRY   | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES      |
| 150 | 410 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Latvia    | No   | No                            | MAX 5 years                        | MAX 100 times the minimum monthly wage              |
| 151 | 437 | 5 | Art. 4 [Art. 3(a)] Secondary Insider                                    | Lithuania | MIN 1,000 MAX 5,000 Lt (MIN € 290 MAX € 1,450)   | Yes - Details in the Workbook | MAX 2 years                        | No  |

|     |     |   |   |                 |  |                               |                          |   |
|-----|-----|---|---|-----------------|--|-------------------------------|--------------------------|---|
|     |     |   | (Disclosure of Inside Information)                                      |                 | Legal entities: MAX 100,000 Lt (€ 30,000) or 3 times the Profit  |                               |                          |   |
| 152 | 464 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Luxembourg      | No   | Yes - Details in the Workbook | MIN 8 days MAX 1 year    | MIN € 125 MAX € 25,000  |
| 153 | 491 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Malta           | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | MAX 7 years              | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 154 | 518 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | the Netherlands | MAX € 96,000   | Yes - Details in the Workbook | MAX 2 years              | MAX € 16,750 and the Profit   |
| 155 | 545 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Norway          | EQUAL TO the Profit  | No                            | MAX 1 year               | Fines - amount not available  |
| 156 | 572 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Poland          | No   | No                            | MIN 3 months MAX 5 years | MAX PLN 5,000,000   |
| 157 | 599 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Portugal        | MIN € 25,000 MAX € 2,500,000   | Yes - Details in the Workbook | MAX 2 years              | MIN 10 days MAX 240 days  |
| 158 | 626 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Romania         | MIN 50% MAX 100% the value of the transactions   | Yes - Details in the Workbook | MIN 6 months MAX 5 years | MIN 50% MAX 100% the value of the transactions  |
| 159 | 653 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Slovakia        | A fine up to SKK 20,000,000 (€ 600,000) or the Profit  | Yes - Details in the Workbook | MIN 3 MAX 8 years        | No  |
| 160 | 680 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Slovenia        | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400 | No                            | No                       | No  |
| 161 | 707 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Spain           | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)     | Yes - Details in the Workbook | No                       | No  |

|     |     |   |   |                |   |                               |                                    |   |
|-----|-----|---|---|----------------|---|-------------------------------|------------------------------------|---|
|     |     |   |   |                | For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) |                               |                                    |   |
| 162 | 734 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Sweden         | No  | No                            | MAX 4 years                        | No  |
| 163 | 761 | 5 | Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | U.K.           | Unlimited fines   | Yes - Details in the Workbook | MAX 7 years                        | unlimited fines   |
| 164 |     |   |   |                | Art. 4 [Art. 3(b)] Secondary Insider - ("Tipping")  |                               |                                    |   |
| 165 |     |   |   | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES                            |
| 166 | 6   | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Austria        | No  | Yes-Details in the Workbook   | MAX 3 years                        | MAX € 180 000   |
| 167 | 33  | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | MIN 3 months MAX 1 year            | MIN € 50 MAX € 10,000 or 3 times the Profit                               |
| 168 | 60  | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Bulgaria       | MIN BGN 20,000 MAX BGN 50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000 MAX BGN 100,000   | Yes - Details in the Workbook | No                                 | No  |
| 169 | 87  | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Czech Republic | MAX € 350,000   | Yes - Details in the Workbook | No                                 | No  |
| 170 | 114 | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Cyprus         | MAX CYP 1,000,000 (€ 1,710,000)   | No                            | MAX 10 years                       | MAX CYP 100,000 + automatic deprivation of the right to trade for 5 years |
| 171 | 141 | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Denmark        | No  | Yes - Details in the Workbook | MAX 1 year and 6 months            | No  |
| 172 | 168 | 6 | Art. 4 [Art. 3(b)] Secondary Insider ("Tipping")                        | Estonia        | No  | Yes - Details in the Workbook | MAX 3 years                        | Fines - amount not available  |
| 173 | 195 | 6 | Art. 4 [Art. 3(b)] Secondary Insider                                    | Finland        | MIN 100 MAX 10.000 / Legal entities MIN 500 MAX 200.000   | Yes - Details in the Workbook | MAX 4 years                        | Fines - amount not available  |

|     |     |   |  |            |  |                                  |  |  |
|-----|-----|---|--|------------|--|----------------------------------|--|--|
|     |     |   | ("Tipping")  |            |  |                                  |  |  |
| 174 | 222 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | France     | MAX € 1,500,000 or 10 times<br>the Profit  | Yes - Details in the<br>Workbook | Max 1 year                             | MIN the Profit MAX<br>€ 150 000 or 10<br>times the Profit                                |
| 175 | 249 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Germany    | MAX € 200,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 176 | 276 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Greece     | MIN € 10,000 MAX €<br>6,000,000  | Yes - Details in the<br>Workbook | MIN 1 MAX 10 years                     | No   |
| 177 | 303 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Hungary    | MIN € 8,000 MAX € 400,000 or<br>4 times the Profit   | No                               | MAX 3 years                            | No   |
| 178 | 330 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Iceland    | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 179 | 357 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Ireland    | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter   | Yes - Details in the<br>Workbook | MAX 10 years                           | MAX € 10,000,000   |
| 180 | 384 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Italy      | MIN € 100,000 MAX €<br>45,000,000 or 10 times the<br>Profit<br>Legal entities: MIN € 100,000<br>MAX € 45,000,000 or 10 times<br>the Profit | Yes - Details in the<br>Workbook | No                                     | No   |
| 181 |     |   |  |            | Art. 4 [Art. 3(b)] Secondary<br>Insider - ("Tipping")  |                                  |  |  |
| 182 |     |   |  | COUNTRY    | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES                                 |
| 183 | 411 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Latvia     | No   | No                               | MAX 5 years                            | MAX 100 times the<br>minimum monthly<br>wage   |
| 184 | 438 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Lithuania  | MIN 1,000 MAX 5,000 Lt (€<br>290 - € 1,450)  | Yes - Details in the<br>Workbook | MAX 2 years                            | No   |
| 185 | 465 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Luxembourg | No   | Yes - Details in the<br>Workbook | MIN 8 days MAX 1<br>year               | MIN € 125 MAX €<br>25,000  |
| 186 | 492 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Malta      | MAX Malta lire 40,000 (€<br>93,200)  | Yes - Details in the<br>Workbook | MAX 7 years                            | MIN Malta liri 1,000<br>MAX Malta liri<br>400,000<br>(€ 2,330 - €<br>932,000) or up to 3 |

|     |     |   |  |                    |   |                                  |                                    |  |
|-----|-----|---|--|--------------------|---|----------------------------------|------------------------------------|--|
|     |     |   |  |                    |   |                                  |                                    | times the Profit                                     |
| 187 | 519 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | the<br>Netherlands | MAX € 96,000  | Yes - Details in the<br>Workbook | MAX 2 years                        | MAX € 16,750 and<br>the Profit                       |
| 188 | 546 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Norway             | EQUAL TO the Profit   | No                               | MAX 1 year                         | Fines - amount not<br>available                      |
| 189 | 573 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Poland             | No  | No                               | MIN 3 months MAX 5<br>years        | MAX PLN 5,000,000                                    |
| 190 | 600 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Portugal           | MIN € 25,000 MAX €<br>2,500,000   | Yes - Details in the<br>Workbook | MAX 2 years                        | MIN 10 days MAX<br>240 days                          |
| 191 | 627 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Romania            | MIN 50% MAX 100% the value<br>of the transactions   | Yes - Details in the<br>Workbook | MIN 6 months MAX 5<br>years        | MIN 50% MAX<br>100% the value of the<br>transactions |
| 192 | 654 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Slovakia           | A fine up to SKK 20,000,000 (€<br>600,000) or the Profit  | Yes - Details in the<br>Workbook | MIN 3 MAX 8 years                  | No   |
| 193 | 681 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Slovenia           | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400   | No                               | No                                 | No   |
| 194 | 708 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Spain              | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | No                                 | No   |
| 195 | 735 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | Sweden             | No  | No                               | MAX 4 years                        | No   |
| 196 | 762 | 6 | Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | U.K.               | Unlimited fines   | Yes - Details in the<br>Workbook | MAX 7 years                        | unlimited fines                                      |
| 197 |     |   |  |                    | Art. 5 - Market Manipulation  |                                  |                                    |  |
| 198 |     |   |  | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL<br>SANCTIONS                                |

|     |     |   |                               |                   |  |                                  |                           | FINES AND OTHER MEASURES  |
|-----|-----|---|-------------------------------|-------------------|--|----------------------------------|---------------------------|---|
| 199 | 7   | 7 | Art. 5<br>market manipulation | Austria           | MAX € 50,000   | Yes - Details in the Workbook    | No                        | No  |
| 200 | 34  | 7 | Art. 5<br>Market Manipulation | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit   | Yes - Details in the Workbook    | MIN 1 month MAX 2<br>year | MIN € 300 MAX €<br>10,000   |
| 201 | 61  | 7 | Art. 5<br>Market Manipulation | Bulgaria          | MIN BGN 20,000 MAX BGN<br>50,000 (€ 10,000 - € 25,000)<br>Legal entities: MIN BGN 50,000<br>MAX BGN 100,000                                | Yes - Details in the<br>Workbook | No                        | No  |
| 202 | 88  | 7 | Art. 5<br>Market Manipulation | Czech<br>Republic | MAX € 700,000  | Yes - Details in the<br>Workbook | MAX 12 years              | MAX € 180,000   |
| 203 | 115 | 7 | Art. 5<br>Market Manipulation | Cyprus            | MAX CYP 1,000,000 (€<br>1,710,000) or 2 times the Profit   | No                               | MAX 10 years              | MAX CYP 100,000<br>+ automatic<br>deprivation of the<br>right to trade for 5<br>years |
| 204 | 142 | 7 | Art. 5<br>Market Manipulation | Denmark           | No   | Yes - Details in the<br>Workbook | MAX 4 years               | No  |
| 205 | 169 | 7 | Art. 5<br>Market Manipulation | Estonia           | MAX EEK 50,000   | Yes - Details in the<br>Workbook | MAX 3 years               | Fines - amount not<br>available   |
| 206 | 196 | 7 | Art. 5<br>Market Manipulation | Finland           | MIN 100 MAX 10.000 / Legal<br>entities MIN 500 MAX 200.000   | Yes - Details in the<br>Workbook | MAX 4 years               | Fines - amount not<br>available   |
| 207 | 223 | 7 | Art. 5<br>Market Manipulation | France            | MAX € 1,500,000 or 10 times<br>the Profit  | Yes - Details in the<br>Workbook | MAX 2 years               | MIN the Profit MAX<br>€ 1,500,000 or 10<br>times the Profit                           |
| 208 | 250 | 7 | Art. 5<br>Market Manipulation | Germany           | MAX € 1,000,000  | Yes - Details in the<br>Workbook | MAX 5 years               | unlimited fine  |
| 209 | 277 | 7 | Art. 5<br>Market Manipulation | Greece            | MIN € 10,000 MAX €<br>6,000,000  | Yes - Details in the<br>Workbook | MIN 1 MAX 10 years        | No  |
| 210 | 304 | 7 | Art. 5<br>Market Manipulation | Hungary           | MIN € 8,000 MAX € 400,000 or<br>4 times the Profit   | No                               | MAX 3 years               | No  |
| 211 | 331 | 7 | Art. 5<br>Market Manipulation | Iceland           | MIN ISK 10,000 MAX ISK<br>20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - €<br>588,235)    | Yes - Details in the<br>Workbook | MAX 6 years               | No  |
| 212 | 358 | 7 | Art. 5<br>Market Manipulation | Ireland           | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter   | Yes - Details in the<br>Workbook | MAX 10 years              | MAX € 10,000,000  |
| 213 | 385 | 7 | Art. 5<br>Market Manipulation | Italy             | MIN € 100,000 MAX €<br>75,000,000 or 10 times the<br>Profit<br>Legal entities: MIN € 100,000<br>MAX € 75,000,000 or 10 times<br>the Profit | Yes - Details in the<br>Workbook | MIN 2 MAX 12 years        | MIN € 20,000 MAX<br>€ 15,000,000 or 10<br>times the Profit                            |

| 214 |     |   |                            |                 | Art. 5 - Market Manipulation   |                               |                                 |  |
|-----|-----|---|----------------------------|-----------------|--|-------------------------------|---------------------------------|--|
| 215 |     |   |                            | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES  |
| 216 | 412 | 7 | Art. 5 Market Manipulation | Latvia          | No   | Yes - Details in the Workbook | MAX 15 years                    | MAX 200 times the minimum monthly wage   |
| 217 | 439 | 7 | Art. 5 Market Manipulation | Lithuania       | MIN 1,000 MAX 5,000 Lt (MIN € 290 MAX € 1,450)<br>Legal entities: MAX 100,000 Lt (€ 30,000) or 3 times the Profit  | Yes - Details in the Workbook | MAX 3 years                     | No   |
| 218 | 466 | 7 | Art. 5 Market Manipulation | Luxembourg      | No   | Yes - Details in the Workbook | MIN 3 months MAX 2 years        | MIN € 125 MAX € 1,500,000  |
| 219 | 493 | 7 | Art. 5 Market Manipulation | Malta           | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | MAX 7 years                     | MIN Malta liri 1,000<br>MAX Malta liri 400,000 (€ 2,330 - € 932,000) or up to 3 times the Profit |
| 220 | 520 | 7 | Art. 5 Market Manipulation | the Netherlands | MAX € 96,000   | Yes - Details in the Workbook | MAX 2 years                     | MAX € 16,750 and the Profit  |
| 221 | 547 | 7 | Art. 5 Market Manipulation | Norway          | EQUAL TO the Profit  | No                            | MAX 6 years                     | Fines - amount not available   |
| 222 | 574 | 7 | Art. 5 Market Manipulation | Poland          | MAX PLN 200,000 (€ 52,910) or 10 times the Profit  | Yes - Details in the Workbook | MIN 3 months MAX 5 years        | MAX PLN 5,000,000  |
| 223 | 601 | 7 | Art. 5 Market Manipulation | Portugal        | MIN € 25,000 MAX € 2,500,000   | Yes - Details in the Workbook | MAX 3 years                     | Fines - amount not available   |
| 224 | 628 | 7 | Art. 5 Market Manipulation | Romania         | MIN 50% MAX 100% the value of the transactions   | Yes - Details in the Workbook | MIN 6 months MAX 5 years        | MIN 50% MAX 100% the value of the transactions   |
| 225 | 655 | 7 | Art. 5 Market Manipulation | Slovakia        | A fine up to SKK 20,000,000 (€ 600,000) or the Profit  | Yes - Details in the Workbook | No                              | No   |
| 226 | 682 | 7 | Art. 5 Market Manipulation | Slovenia        | Individual persons: MIN € 130 MAX € 1,200<br>Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400                                     | No                            | No                              | No   |
| 227 | 709 | 7 | Art. 5 Market Manipulation | Spain           | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX | Yes - Details in the Workbook | MIN 6 months MAX 2 years        | MIN 12 MAX 24 months   |

|     |     |   |  |                   |  |                                  |  |  |
|-----|-----|---|--|-------------------|--|----------------------------------|--|--|
|     |     |   |  |                   | the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) |                                  |  |  |
| 228 | 736 | 7 | Art. 5<br>Market Manipulation                    | Sweden            | No   | No                               | MAX 4 years                            | No   |
| 229 | 763 | 7 | Art. 5<br>Market Manipulation                    | U.K.              | Unlimited fines  | Yes - Details in the<br>Workbook | MAX 7 years                            | unlimited fines  |
| 230 |     |   |  |                   | Art.6(1) - Publication of Inside<br>Information  |                                  |  |  |
| 231 |     |   |  | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 232 | 8   | 8 | Art.6(1)<br>Publication of Inside<br>Information | Austria           | MAX € 30,000   | No                               | No                                     | No   |
| 233 | 35  | 8 | Art.6(1)<br>Publication of Inside<br>Information | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit   | Yes - Details in the<br>Workbook | No                                     | No   |
| 234 | 62  | 8 | Art.6(1)<br>Publication of Inside<br>Information | Bulgaria          | MIN BGN 200 MAX BGN 2,000<br>(€ 100 - € 1,000)<br>Legal entities: MIN BGN 500<br>MAX BGN 5,000                                   | Yes - Details in the<br>Workbook | No                                     | No   |
| 235 | 89  | 8 | Art.6(1)<br>Publication of Inside<br>Information | Czech<br>Republic | MAX € 350,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 236 | 116 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Cyprus            | MAX CYP 400,000 (€ 683,440)<br>or 2 times the Profit   | No                               | MAX 5 years                            | MAX CYP 50,000   |
| 237 | 143 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Denmark           | No   | Yes - Details in the<br>Workbook | No                                     | Fines - amount not<br>available                          |
| 238 | 170 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Estonia           | MAX EEK 50,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 239 | 197 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Finland           | MIN 100 MAX 10.000/Legal<br>entities MIN 500 MAX 200.000   | Yes - Details in the<br>Workbook | MAX 2 years                            | Fines - amount not<br>available                          |
| 240 | 224 | 8 | Art.6(1)<br>Publication of Inside<br>Information | France            | MAX € 1,500,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 241 | 251 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Germany           | MAX € 1,000,000  | Yes - Details in the<br>Workbook | No                                     | No   |

|     |     |   |  |                    |   |                                  |  |  |
|-----|-----|---|--|--------------------|---|----------------------------------|--|--|
| 242 | 278 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Greece             | MIN € 3,000 MAX € 1,500,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 243 | 305 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Hungary            | MIN € 4,000 MAX € 80,000  | No                               | No                                     | No   |
| 244 | 332 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Iceland            | MIN ISK 10,000 MAX ISK<br>20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - €<br>588,235) | Yes - Details in the<br>Workbook | MAX 2 years                            | No   |
| 245 | 359 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Ireland            | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter  | Yes - Details in the<br>Workbook | Max 1 Year                             | MAX € 5,000  |
| 246 | 386 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Italy              | MIN € 5,000 MAX € 500,000   | Yes - Details in the<br>Workbook | MIN 2 MAX 8 years                      | No   |
| 247 |     |   |  |                    | Art.6(1) - Publication of Inside<br>Information   |                                  |  |  |
| 248 |     |   |  | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 249 | 413 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Latvia             | MAX Lats 10,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 250 | 440 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Lithuania          | MAX Lt 100,000 (€ 30,000)   | Yes - Details in the<br>Workbook | No                                     | No   |
| 251 | 467 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Luxembourg         | MIN € 125 MAX € 125,000   | No                               | No                                     | No   |
| 252 | 494 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Malta              | MAX Malta lire 40,000 (€<br>93,200)   | Yes - Details in the<br>Workbook | No                                     | No   |
| 253 | 521 | 8 | Art.6(1)<br>Publication of Inside<br>Information | the<br>Netherlands | MAX € 96,000  | Yes - Details in the<br>Workbook | MAX 2 years                            | MAX € 16,750 and<br>the Profit                           |
| 254 | 548 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Norway             | Fines - amount not available  | No                               | No                                     | Fines - amount not<br>available                          |
| 255 | 575 | 8 | Art.6(1)<br>Publication of Inside<br>Information | Poland             | MAX PLN 1,000,000 (€<br>264,550)  | Yes - Details in the<br>Workbook | No                                     | No   |
| 256 | 602 | 8 | Art.6(1)   | Portugal           | MIN € 25,000 MAX €  | Yes - Details in the             | No                                     | No   |

|     |     |   |   |          |   |                               |                                    |  |
|-----|-----|---|---|----------|---|-------------------------------|------------------------------------|--|
|     |     |   | Publication of Inside Information                 |          | 2,500,000   | Workbook                      |                                    |  |
| 257 | 629 | 8 | Art.6(1)<br>Publication of Inside Information     | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital   | Yes - Details in the Workbook | No                                 | No   |
| 258 | 656 | 8 | Art.6(1)<br>Publication of Inside Information     | Slovakia | MIN SKK 10,000 MAX SKK 20,000,000 (€ 300 - € 600,000)   | Yes - Details in the Workbook | No                                 | No   |
| 259 | 683 | 8 | Art.6(1)<br>Publication of Inside Information     | Slovenia | Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400   | No                            | No                                 | No   |
| 260 | 710 | 8 | Art.6(1)<br>Publication of Inside Information     | Spain    | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No   |
| 261 | 737 | 8 | Art.6(1)<br>Publication of Inside Information     | Sweden   | Fines - amount not available  | Yes - Details in the Workbook | No                                 | No   |
| 262 | 764 | 8 | Art.6(1)<br>Publication of Inside Information     | U.K.     | Unlimited fines   | Yes                           | No                                 | No   |
| 263 |     |   |   |          | Art. 6(2) - Information of Delay of Publication.  |                               |                                    |  |
| 264 |     |   |   | COUNTRY  | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 265 | 9   | 9 | Art. 6(2)<br>Information of Delay of Publication. | Austria  | MAX € 30,000  | No                            | No                                 | No   |
| 266 | 36  | 9 | Art. 6(2)<br>Information of Delay of Publication. | Belgium  | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | No                                 | No   |
| 267 | 63  | 9 | Art. 6(2)<br>Information of Delay of Publication. | Bulgaria | MIN BGN 2,000 MAX BGN 10,000 (€ 1,000 - € 5,000)<br>Legal entities: MIN BGN 5,000   | Yes - Details in the Workbook | No                                 | No   |

|     |     |   |  |                   |  |                                  |  |  |
|-----|-----|---|--|-------------------|--|----------------------------------|--|--|
|     |     |   |  |                   | MAX BGN 20,000   |                                  |  |  |
| 268 | 90  | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Czech<br>Republic | MAX € 350,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 269 | 117 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Cyprus            | MAX CYP 400,000 (€ 683,440)<br>or 2 times the Profit       | No                               | MAX 5 years                            | CYP 50,000   |
| 270 | 144 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Denmark           | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 271 | 171 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Estonia           | No   | No                               | No                                     | No   |
| 272 | 198 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Finland           | MIN 100 MAX 10.000 / Legal<br>entities MIN 500 MAX 200.000 | Yes - Details in the<br>Workbook | MAX 2 years                            | Fines - amount not<br>available                          |
| 273 | 225 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | France            | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 274 | 252 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Germany           | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 275 | 279 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Greece            | MIN € 3,000 MAX € 1,500,000                                | Yes - Details in the<br>Workbook | No                                     | No   |
| 276 | 306 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Hungary           | MIN € 200 MAX € 20,000                                     | No                               | No                                     | No   |
| 277 | 333 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Iceland           | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 278 | 360 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Ireland           | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 279 | 387 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Italy             | MIN € 5,000 MAX € 500,000                                  | Yes - Details in the<br>Workbook | MIN 2 MAX 8 years                      | No   |
| 280 |     |   |  |                   | Art. 6(2) - Information of Delay<br>of Publication.        |                                  |  |  |
| 281 |     |   |  | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS                      | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 282 | 414 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Latvia            | MAX Lats 10,000  | No                               | No                                     | No   |

|     |     |   |  |                    |   |                                  |                |                                 |
|-----|-----|---|--|--------------------|---|----------------------------------|----------------|---------------------------------|
| 283 | 441 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Lithuania          | MAX Lt 100,000 (€ 30,000)   | Yes - Details in the<br>Workbook | No             | No                              |
| 284 | 468 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Luxembourg         | Not applicable  | Not applicable                   | Not applicable | Not applicable                  |
| 285 | 495 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Malta              | MAX Malta lire 40,000 (€<br>93,200)   | Yes - Details in the<br>Workbook | No             | No                              |
| 286 | 522 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | the<br>Netherlands | Not applicable  | Not applicable                   | Not applicable | Not applicable                  |
| 287 | 549 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Norway             | Fines - amount not available  | No                               | No             | Fines - amount not<br>available |
| 288 | 576 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Poland             | MAX PLN 1,000,000 (€<br>264,550)  | Yes - Details in the<br>Workbook | No             | No                              |
| 289 | 603 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Portugal           | Not applicable  | Not applicable                   | Not applicable | Not applicable                  |
| 290 | 630 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Romania            | MIN RON 500 MAX RON<br>50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX<br>5% of the paid-up share capital   | Yes - Details in the<br>Workbook | No             | No                              |
| 291 | 657 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Slovakia           | MIN SKK 10,000 MAX SKK<br>20,000,000 (€ 300 - € 600,000)  | Yes - Details in the<br>Workbook | No             | No                              |
| 292 | 684 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Slovenia           | Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400   | Yes - Details in the<br>Workbook | No             | No                              |
| 293 | 711 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Spain              | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | No             | No                              |
| 294 | 738 | 9 | Art. 6(2)<br>Information of Delay of<br>Publication. | Sweden             | Not applicable  | Not applicable                   | Not applicable | Not applicable                  |

|     |     |    |  |                   |  |                                  |  |  |
|-----|-----|----|--|-------------------|--|----------------------------------|--|--|
| 295 | 765 | 9  | Art. 6(2)<br>Information of Delay of<br>Publication.               | U.K.              | Not applicable   | Not applicable                   | Not applicable                         | Not applicable   |
| 296 |     |    |  |                   | Art. 6(3) - Disclosure of Inside<br>Information to Third Party   |                                  |  |  |
| 297 |     |    |  | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 298 | 10  | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Austria           | MAX € 30,000   | No                               | No                                     | No   |
| 299 | 37  | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit   | Yes - Details in the<br>Workbook | No                                     | No   |
| 300 | 64  | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Bulgaria          | MIN BGN 20,000 MAX BGN<br>100,000 (€ 10,000 - € 50,000)<br>Legal entities: MIN BGN 50,000<br>MAX BGN 200,000 | Yes - Details in the<br>Workbook | No                                     | No   |
| 301 | 91  | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Czech<br>Republic | MAX € 350,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 302 | 118 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Cyprus            | MAX CYP 400,000 (€ 683,440)<br>or 2 times the Profit   | No                               | MAX 5 years                            | MAX CYP 50,000   |
| 303 | 145 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Denmark           | No   | Yes - Details in the<br>Workbook | No                                     | Fines - amount not<br>available                          |
| 304 | 172 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Estonia           | MAX EEK 50,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 305 | 199 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Finland           | MIN 100 MAX 10.000 / Legal<br>entities MIN 500 MAX 200.000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 306 | 226 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | France            | MAX € 1,500,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 307 | 253 | 10 | Art. 6(3)  | Germany           | MAX € 1,000,000  | Yes - Details in the             | No                                     | No   |

|     |     |    |  |            |  |                               |                                    |  |
|-----|-----|----|--|------------|--|-------------------------------|------------------------------------|--|
|     |     |    | Disclosure of Inside Information to Third Party              |            |  | Workbook                      |                                    |  |
| 308 | 280 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Greece     | MIN € 3,000 MAX € 1,500,000  | Yes - Details in the Workbook | No                                 | No   |
| 309 | 307 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Hungary    | MIN € 200 MAX € 4,000  | No                            | No                                 | No   |
| 310 | 334 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Iceland    | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000 MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | MAX 2 years                        | No   |
| 311 | 361 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Ireland    | MAX € 2,500,000<br>+ Costs incurred by the Regulator in investigating the matter   | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 312 | 388 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Italy      | MIN € 5,000 MAX € 500,000  | Yes - Details in the Workbook | No                                 | No   |
| 313 |     |    |  |            | Art. 6(3) - Disclosure of Inside Information to Third Party  |                               |                                    |  |
| 314 |     |    |  | COUNTRY    | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 315 | 415 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Latvia     | MAX Lats 10,000  | Yes - Details in the Workbook | No                                 | No   |
| 316 | 442 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Lithuania  | MIN 1,000 MAX 5,000 Lt<br>(MIN € 290 MAX € 1,450)<br>Legal entities: MAX 100,000 Lt (€ 30,000) or 3 times the Profit           | Yes - Details in the Workbook | MAX 2 years                        | No   |
| 317 | 469 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Luxembourg | MIN € 125 MAX € 125,000  | No                            | No                                 | No   |
| 318 | 496 | 10 | Art. 6(3)<br>Disclosure of Inside Information to Third Party | Malta      | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |  |                    |   |                                  |                                    |                                 |
|-----|-----|----|--|--------------------|---|----------------------------------|------------------------------------|---------------------------------|
| 319 | 523 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | the<br>Netherlands | MAX € 96,000  | Yes - Details in the<br>Workbook | MAX 2 years                        | MAX € 16,750 and<br>the Profit  |
| 320 | 550 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Norway             | Fines - amount not available  | No                               | No                                 | Fines - amount not<br>available |
| 321 | 577 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Poland             | No  | No                               | MIN 3 months MAX 5<br>years        | MAX PLN 5,000,000               |
| 322 | 604 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Portugal           | MIN € 25,000 MAX €<br>2,500,000   | Yes - Details in the<br>Workbook | No                                 | No                              |
| 323 | 631 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Romania            | MIN RON 500 MAX RON<br>50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX<br>5% of the paid-up share capital   | Yes - Details in the<br>Workbook | No                                 | No                              |
| 324 | 658 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Slovakia           | MIN SKK 10,000 MAX SKK<br>20,000,000 (€ 300 - € 600,000)  | Yes - Details in the<br>Workbook | Yes - Details in the<br>Workbook   | No                              |
| 325 | 685 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Slovenia           | Individual persons: MIN € 130<br>MAX € 1,200<br>Legal entities: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400 | Yes - Details in the<br>Workbook | No                                 | No                              |
| 326 | 712 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Spain              | MAX the Gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03)                              | Yes - Details in the<br>Workbook | No                                 | No                              |
| 327 | 739 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | Sweden             | Fines - amount not available  | Yes - Details in the<br>Workbook | No                                 | No                              |
| 328 | 766 | 10 | Art. 6(3)<br>Disclosure of Inside<br>Information to Third<br>Party | U.K.               | Unlimited fines   | Yes                              | No                                 | No                              |
| 329 |     |    |  |                    | Art. 6(3) - Lists of Insiders   |                                  |                                    |                                 |
| 330 |     |    |  | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL<br>SANCTIONS           |

|     |     |    |                                |                   |   |                                  |  | FINES AND OTHER MEASURES                                 |
|-----|-----|----|--------------------------------|-------------------|---|----------------------------------|--|--|
| 331 | 11  | 11 | Art. 6(3)<br>Lists of Insiders | Austria           | MAX € 30,000  | No                               | No                                     | No   |
| 332 | 38  | 11 | Art. 6(3)<br>Lists of Insiders | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit  | Yes - Details in the<br>Workbook | No                                     | No   |
| 333 | 65  | 11 | Art. 6(3)<br>Lists of Insiders | Bulgaria          | MIN BGN 200 MAX BGN 2,000<br>(€ 100 - € 1,000)<br>Legal entities: MIN BGN 500<br>MAX BGN 5,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 334 | 92  | 11 | Art. 6(3)<br>Lists of Insiders | Czech<br>Republic | MAX € 350,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 335 | 119 | 11 | Art. 6(3)<br>Lists of Insiders | Cyprus            | MAX CY 200,000 (€ 341,720)  | No                               | No                                     | No   |
| 336 | 146 | 11 | Art. 6(3)<br>Lists of Insiders | Denmark           | No  | Yes - Details in the<br>Workbook | No                                     | Fines - amount not<br>available                          |
| 337 | 173 | 11 | Art. 6(3)<br>Lists of Insiders | Estonia           | MAX EEK 50,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 338 | 200 | 11 | Art. 6(3)<br>Lists of Insiders | Finland           | MIN 50 MAX 1.000 / Legal<br>entities Min 500 MAX 10.000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 339 | 227 | 11 | Art. 6(3)<br>Lists of Insiders | France            | MAX € 1,500,000   | Yes - Details in the<br>Workbook | MAX 2 years                            | MAX € 300,000  |
| 340 | 254 | 11 | Art. 6(3)<br>Lists of Insiders | Germany           | MAX € 50,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 341 | 281 | 11 | Art. 6(3)<br>Lists of Insiders | Greece            | MIN € 3,000 MAX € 1,500,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 342 | 308 | 11 | Art. 6(3)<br>Lists of Insiders | Hungary           | MIN € 200 MAX € 20,000  | No                               | No                                     | No   |
| 343 | 335 | 11 | Art. 6(3)<br>Lists of Insiders | Iceland           | MIN ISK 10,000 MAX ISK<br>20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - €<br>588,235) | Yes - Details in the<br>Workbook | MAX 2 years                            | No   |
| 344 | 362 | 11 | Art. 6(3)<br>Lists of Insiders | Ireland           | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter  | Yes - Details in the<br>Workbook | MAX 1 year                             | MAX € 5,000  |
| 345 | 389 | 11 | Art. 6(3)<br>Lists of Insiders | Italy             | MIN € 5,000 MAX € 500,000   | Yes - Details in the<br>Workbook | No                                     | No   |
| 346 |     |    |                                |                   | Art. 6(3) - Lists of Insiders   |                                  |  |  |
| 347 |     |    |                                | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 348 | 416 | 11 | Art. 6(3)<br>Lists of Insiders | Latvia            | MAX Lats 10,000   | No                               | No                                     | No   |

|     |     |    |                                   |                 |  |                               |                                    |  |
|-----|-----|----|-----------------------------------|-----------------|--|-------------------------------|------------------------------------|--|
| 349 | 443 | 11 | Art. 6(3)<br>Lists of Insiders    | Lithuania       | MAX Lt 100,000 (€ 30,000)  | Yes - Details in the Workbook | No                                 | No   |
| 350 | 470 | 11 | Art. 6(3)<br>Lists of Insiders    | Luxembourg      | MIN € 125 MAX € 125,000  | No                            | No                                 | No   |
| 351 | 497 | 11 | Art. 6(3)<br>Lists of Insiders    | Malta           | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | No                                 | No   |
| 352 | 524 | 11 | Art. 6(3)<br>Lists of Insiders    | the Netherlands | MAX € 1,000  | Yes - Details in the Workbook | MAX 2 years                        | MAX € 16,750 and the Profit                    |
| 353 | 551 | 11 | Art. 6(3)<br>Lists of Insiders    | Norway          | No   | No                            | No                                 | Fines - amount not available                   |
| 354 | 578 | 11 | Art. 6(3)<br>Lists of Insiders    | Poland          | MAX PLN 1,000,000 (€ 264,550)  | Yes - Details in the Workbook | No                                 | No   |
| 355 | 605 | 11 | Art. 6(3)<br>Lists of Insiders    | Portugal        | MIN € 12,500 MAX € 2,500,000   | Yes - Details in the Workbook | No                                 | No   |
| 356 | 632 | 11 | Art. 6(3)<br>Lists of Insiders    | Romania         | MIN RON 500 MAX RON 50,000 (€ 150 - €15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital             | Yes - Details in the Workbook | No                                 | No   |
| 357 | 659 | 11 | Art. 6(3)<br>Lists of Insiders    | Slovakia        | MIN SKK 10,000 MAX SKK 20,000,000 (€ 300 - € 600,000)  | Yes - Details in the Workbook | No                                 | No   |
| 358 | 686 | 11 | Art. 6(3)<br>Lists of Insiders    | Slovenia        | Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400              | Yes - Details in the Workbook | No                                 | No   |
| 359 | 713 | 11 | Art. 6(3)<br>Lists of Insiders    | Spain           | MAX the Gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No   |
| 360 | 740 | 11 | Art. 6(3)<br>Lists of Insiders    | Sweden          | Fines - amount not available   | Yes - Details in the Workbook | No                                 | No   |
| 361 | 767 | 11 | Art. 6(3)<br>Lists of Insiders    | U.K.            | Unlimited fines  | Yes - Details in the Workbook | No                                 | No   |
| 362 |     |    |                                   |                 | Art. 6(4) - Manager Transactions   |                               |                                    |  |
| 363 |     |    |                                   | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 364 | 12  | 12 | Art. 6(4)<br>Manager Transactions | Austria         | MAX € 30,000   | No                            | No                                 | No   |
| 365 | 39  | 12 | Art. 6(4)<br>Manager Transactions | Belgium         | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit  | Yes - Details in the Workbook | No                                 | No   |
| 366 | 66  | 12 | Art. 6(4)<br>Manager Transactions | Bulgaria        | No   | No                            | No                                 | No   |
| 367 | 93  | 12 | Art. 6(4)<br>Manager Transactions | Czech Republic  | MAX € 350,000  | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |                                   |                 |   |                               |                                    |  |
|-----|-----|----|-----------------------------------|-----------------|---|-------------------------------|------------------------------------|--|
| 368 | 120 | 12 | Art. 6(4)<br>Manager Transactions | Cyprus          | MAX CY 200,000 (€ 341,720)  | No                            | No                                 | No   |
| 369 | 147 | 12 | Art. 6(4)<br>Manager Transactions | Denmark         | No  | Yes - Details in the Workbook | No                                 | Fines - amount not available                   |
| 370 | 174 | 12 | Art. 6(4)<br>Manager Transactions | Estonia         | MAX EEK 50,000  | Yes - Details in the Workbook | No                                 | No   |
| 371 | 201 | 12 | Art. 6(4)<br>Manager Transactions | Finland         | MIN 50 MAX 1.000 / Legal entities Min 500 MAX 10.000  | Yes - Details in the Workbook | No                                 | No   |
| 372 | 228 | 12 | Art. 6(4)<br>Manager Transactions | France          | MAX € 1,500,000   | Yes - Details in the Workbook | No                                 | No   |
| 373 | 255 | 12 | Art. 6(4)<br>Manager Transactions | Germany         | MAX € 100,000   | Yes - Details in the Workbook | No                                 | No   |
| 374 | 282 | 12 | Art. 6(4)<br>Manager Transactions | Greece          | MIN € 3,000 MAX € 1,500,000   | Yes - Details in the Workbook | No                                 | No   |
| 375 | 309 | 12 | Art. 6(4)<br>Manager Transactions | Hungary         | MIN € 800 MAX € 8,000   | No                            | No                                 | No   |
| 376 | 336 | 12 | Art. 6(4)<br>Manager Transactions | Iceland         | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | MAX 2 years                        | No   |
| 377 | 363 | 12 | Art. 6(4)<br>Manager Transactions | Ireland         | MAX € 2,500,000<br>+ Costs incurred by the Regulator in investigating the matter  | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 378 | 390 | 12 | Art. 6(4)<br>Manager Transactions | Italy           | MIN € 5,000 MAX € 500,000   | Yes - Details in the Workbook | No                                 | No   |
| 379 |     |    |                                   |                 | Art. 6(4) - Manager Transactions  |                               |                                    |  |
| 380 |     |    |                                   | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 381 | 417 | 12 | Art. 6(4)<br>Manager Transactions | Latvia          | MAX Lats 10,000   | No                            | No                                 | No   |
| 382 | 444 | 12 | Art. 6(4)<br>Manager Transactions | Lithuania       | MIN 1,000 MAX 5,000 Lt (€ 290 - € 1,450)  | Yes - Details in the Workbook | No                                 | No   |
| 383 | 471 | 12 | Art. 6(4)<br>Manager Transactions | Luxembourg      | MIN € 125 MAX € 125,000   | No                            | No                                 | No   |
| 384 | 498 | 12 | Art. 6(4)<br>Manager Transactions | Malta           | MAX Malta lire 40,000 (€ 93,200)  | Yes - Details in the Workbook | No                                 | No   |
| 385 | 525 | 12 | Art. 6(4)<br>Manager Transactions | the Netherlands | MAX € 24,000  | Yes - Details in the Workbook | MAX 2 years                        | MAX € 16,750 and the Profit                    |
| 386 | 552 | 12 | Art. 6(4)<br>Manager Transactions | Norway          | No  | No                            | MAX 1 year                         | Fines - amount not available                   |
| 387 | 579 | 12 | Art. 6(4)<br>Manager Transactions | Poland          | MAX PLN 1,000,000 (€ 264,550)   | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |   |                |  |                               |                                    |  |
|-----|-----|----|---|----------------|--|-------------------------------|------------------------------------|--|
| 388 | 606 | 12 | Art. 6(4)<br>Manager Transactions               | Portugal       | MIN € 12,500 MAX € 1,250,000   | Yes - Details in the Workbook | No                                 | No   |
| 389 | 633 | 12 | Art. 6(4)<br>Manager Transactions               | Romania        | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital            | Yes - Details in the Workbook | No                                 | No   |
| 390 | 660 | 12 | Art. 6(4)<br>Manager Transactions               | Slovakia       | MIN SKK 10,000 MAX SKK 20,000,000 (€ 300 - € 600,000)  | Yes - Details in the Workbook | No                                 | No   |
| 391 | 687 | 12 | Art. 6(4)<br>Manager Transactions               | Slovenia       | Yes - Details in the Workbook  | Yes - Details in the Workbook | No                                 | No   |
| 392 | 714 | 12 | Art. 6(4)<br>Manager Transactions               | Spain          | MAX the Gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No   |
| 393 | 741 | 12 | Art. 6(4)<br>Manager Transactions               | Sweden         | Fines - amount not available   | Yes - Details in the Workbook | No                                 | No   |
| 394 | 768 | 12 | Art. 6(4)<br>Manager Transactions               | U.K.           | Unlimited fines  | Yes - Details in the Workbook | No                                 | No   |
| 395 |     |    |   |                | Art.6(4) - Publication of Manager Transactions   |                               |                                    |  |
| 396 |     |    |   | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 397 | 13  | 13 | Art.6(4)<br>Publication of Manager Transactions | Austria        | MAX € 30,000   | No                            | No                                 | No   |
| 398 | 40  | 13 | Art.6(4)<br>Publication of Manager Transactions | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit  | Yes - Details in the Workbook | No                                 | No   |
| 399 | 67  | 13 | Art.6(4)<br>Publication of Manager Transactions | Bulgaria       | MIN BGN 200 MAX BGN 2,000 (€ 100 - € 1,000)<br>Legal entities: MIN BGN 500 MAX BGN 5,000                                 | Yes - Details in the Workbook | No                                 | No   |
| 400 | 94  | 13 | Art.6(4)<br>Publication of Manager Transactions | Czech Republic | MAX € 350,000  | Yes - Details in the Workbook | No                                 | No   |
| 401 | 121 | 13 | Art.6(4)<br>Publication of Manager Transactions | Cyprus         | MAX CY 200,000 (€ 341,720)   | No                            | No                                 | No   |
| 402 | 148 | 13 | Art.6(4)<br>Publication of Manager Transactions | Denmark        | No   | Yes - Details in the Workbook | No                                 | Fines - amount not available                   |
| 403 | 175 | 13 | Art.6(4)<br>Publication of Manager              | Estonia        | No   | No                            | No                                 | No   |

|     |     |    |   |            |  |                               |                                    |  |
|-----|-----|----|---|------------|--|-------------------------------|------------------------------------|--|
|     |     |    | <b>Transactions</b>                             |            |  |                               |                                    |  |
| 404 | 202 | 13 | Art.6(4)<br>Publication of Manager Transactions | Finland    | MIN 50 MAX 1.000 / Legal entities Min 500 MAX 10.000   | Yes - Details in the Workbook | No                                 | No   |
| 405 | 229 | 13 | Art.6(4)<br>Publication of Manager Transactions | France     | No   | No                            | No                                 | No   |
| 406 | 256 | 13 | Art.6(4)<br>Publication of Manager Transactions | Germany    | MAX € 100,000  | Yes - Details in the Workbook | No                                 | No   |
| 407 | 283 | 13 | Art.6(4)<br>Publication of Manager Transactions | Greece     | MIN € 3,000 MAX € 1,500,000  | Yes - Details in the Workbook | No                                 | No   |
| 408 | 310 | 13 | Art.6(4)<br>Publication of Manager Transactions | Hungary    | MIN € 200 MAX € 20,000   | No                            | No                                 | No   |
| 409 | 337 | 13 | Art.6(4)<br>Publication of Manager Transactions | Iceland    | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000 MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | MAX 2 years                        | No   |
| 410 | 364 | 13 | Art.6(4)<br>Publication of Manager Transactions | Ireland    | MAX € 2,500,000<br>+ Costs incurred by the Regulator in investigating the matter   | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 411 | 391 | 13 | Art.6(4)<br>Publication of Manager Transactions | Italy      | MIN € 5,000 MAX € 500,000  | Yes - Details in the Workbook | No                                 | No   |
| 412 |     |    |   |            | Art.6(4) - Publication of Manager Transactions   |                               |                                    |  |
| 413 |     |    |   | COUNTRY    | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 414 | 418 | 13 | Art.6(4)<br>Publication of Manager Transactions | Latvia     | MAX Lats 10,000  | No                            | No                                 | No   |
| 415 | 445 | 13 | Art.6(4)<br>Publication of Manager Transactions | Lithuania  | MAX Lt 100,000 (€ 30,000)  | Yes - Details in the Workbook | No                                 | No   |
| 416 | 472 | 13 | Art.6(4)<br>Publication of Manager Transactions | Luxembourg | MIN € 125 MAX € 125,000  | No                            | No                                 | No   |
| 417 | 499 | 13 | Art.6(4)<br>Publication of Manager Transactions | Malta      | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |   |                 |  |                               |                                    |  |
|-----|-----|----|---|-----------------|--|-------------------------------|------------------------------------|--|
| 418 | 526 | 13 | Art.6(4)<br>Publication of Manager Transactions | the Netherlands | No   | No                            | No                                 | No   |
| 419 | 553 | 13 | Art.6(4)<br>Publication of Manager Transactions | Norway          | No   | No                            | MAX 1 year                         | Fines - amount not available                   |
| 420 | 580 | 13 | Art.6(4)<br>Publication of Manager Transactions | Poland          | MAX PLN 1,000,000 (€ 264,550)  | Yes - Details in the Workbook | No                                 | No   |
| 421 | 607 | 13 | Art.6(4)<br>Publication of Manager Transactions | Portugal        | No   | No                            | No                                 | No   |
| 422 | 634 | 13 | Art.6(4)<br>Publication of Manager Transactions | Romania         | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital            | Yes - Details in the Workbook | No                                 | No   |
| 423 | 661 | 13 | Art.6(4)<br>Publication of Manager Transactions | Slovakia        | MIN SKK 10,000 MAX SKK 20,000,000 (€ 300 - € 600,000)  | Yes - Details in the Workbook | No                                 | No   |
| 424 | 688 | 13 | Art.6(4)<br>Publication of Manager Transactions | Slovenia        | No   | Yes - Details in the Workbook | No                                 | No   |
| 425 | 715 | 13 | Art.6(4)<br>Publication of Manager Transactions | Spain           | MAX the Gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No   |
| 426 | 742 | 13 | Art.6(4)<br>Publication of Manager Transactions | Sweden          | Fines - amount not available   | Yes - Details in the Workbook | No                                 | No   |
| 427 | 769 | 13 | Art.6(4)<br>Publication of Manager Transactions | U.K.            | Unlimited fines  | Yes - Details in the Workbook | No                                 | No   |
| 428 |     |    |   |                 | Art. 6(5) - Dissemination of Research  |                               |                                    |  |
| 429 |     |    |   | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 430 | 14  | 14 | Art. 6(5) Dissemination of Research             | Austria         | MAX € 30,000   | No                            | No                                 | No   |
| 431 | 41  | 14 | Art. 6(5) Dissemination of Research             | Belgium         | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit  | Yes - Details in the Workbook | No                                 | No   |
| 432 | 68  | 14 | Art. 6(5) Dissemination of Research             | Bulgaria        | MIN BGN 2,000 MAX BGN 10,000 (€ 1,000 - € 5,000)<br>Legal entities: MIN BGN 5,000  | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |                                     |                 |   |                               |                                    |  |
|-----|-----|----|-------------------------------------|-----------------|---|-------------------------------|------------------------------------|--|
|     |     |    |                                     |                 | MAX BGN 20,000  |                               |                                    |  |
| 433 | 95  | 14 | Art. 6(5) Dissemination of Research | Czech Republic  | MAX € 175,000   | Yes - Details in the Workbook | No                                 | No   |
| 434 | 122 | 14 | Art. 6(5) Dissemination of Research | Cyprus          | MAX CYP 600,000 (€ 1,025,160)   | No                            | No                                 | No   |
| 435 | 149 | 14 | Art. 6(5) Dissemination of Research | Denmark         | No  | Yes - Details in the Workbook | No                                 | Fines - amount not available                   |
| 436 | 176 | 14 | Art. 6(5) Dissemination of Research | Estonia         | MAX EEK 50,000  | Yes - Details in the Workbook | No                                 | No   |
| 437 | 203 | 14 | Art. 6(5) Dissemination of Research | Finland         | No  | Yes - Details in the Workbook | No                                 | No   |
| 438 | 230 | 14 | Art. 6(5) Dissemination of Research | France          | MAX € 1,500,000   | Yes - Details in the Workbook | No                                 | No   |
| 439 | 257 | 14 | Art. 6(5) Dissemination of Research | Germany         | MAX € 200,000   | Yes - Details in the Workbook | No                                 | No   |
| 440 | 284 | 14 | Art. 6(5) Dissemination of Research | Greece          | MIN € 3,000 MAX € 1,500,000   | Yes - Details in the Workbook | No                                 | No   |
| 441 | 311 | 14 | Art. 6(5) Dissemination of Research | Hungary         | MIN € 200 MAX € 20,000  | No                            | No                                 | No   |
| 442 | 338 | 14 | Art. 6(5) Dissemination of Research | Iceland         | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | No                                 | No   |
| 443 | 365 | 14 | Art. 6(5) Dissemination of Research | Ireland         | MAX € 2,500,000<br>+ Costs incurred by the Regulator in investigating the matter  | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 444 | 392 | 14 | Art. 6(5) Dissemination of Research | Italy           | MIN € 5,000 MAX € 500,000   | Yes - Details in the Workbook | No                                 | No   |
| 445 |     |    |                                     |                 | Art. 6(5) - Dissemination of Research   |                               |                                    |  |
| 446 |     |    |                                     | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 447 | 419 | 14 | Art. 6(5) Dissemination of Research | Latvia          | MAX Lats 10,000   | No                            | No                                 | No   |
| 448 | 446 | 14 | Art. 6(5) Dissemination of Research | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000) or 3 times the Profit   | Yes - Details in the Workbook | No                                 | No   |
| 449 | 473 | 14 | Art. 6(5) Dissemination of Research | Luxembourg      | MIN € 125 MAX € 125,000   | No                            | No                                 | No   |
| 450 | 500 | 14 | Art. 6(5) Dissemination of Research | Malta           | MAX Malta lire 40,000 (€ 93,200)  | Yes - Details in the Workbook | No                                 | No   |
| 451 | 527 | 14 | Art. 6(5) Dissemination of Research | the Netherlands | MAX € 24,000  | Yes - Details in the Workbook | MAX 2 years                        | MAX € 16,750 and the Profit                    |

|     |     |    |  |          |   |                               |                                    |  |
|-----|-----|----|--|----------|---|-------------------------------|------------------------------------|--|
| 452 | 554 | 14 | Art. 6(5) Dissemination of Research                          | Norway   | No  | No                            | MAX 1 year                         | Fines - amount not available                   |
| 453 | 581 | 14 | Art. 6(5) Dissemination of Research                          | Poland   | MAX PLN 1,000,000 (€ 264,550)   | Yes - Details in the Workbook | No                                 | No   |
| 454 | 608 | 14 | Art. 6(5) Dissemination of Research                          | Portugal | MIN € 12,500 MAX € 1,250,000  | Yes - Details in the Workbook | No                                 | No   |
| 455 | 635 | 14 | Art. 6(5) Dissemination of Research                          | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital   | Yes - Details in the Workbook | No                                 | No   |
| 456 | 662 | 14 | Art. 6(5) Dissemination of Research                          | Slovakia | No  | Yes - Details in the Workbook | No                                 | No   |
| 457 | 689 | 14 | Art. 6(5) Dissemination of Research                          | Slovenia | Individual persons: MIN € 130 MAX € 1,200<br>Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400  | Yes - Details in the Workbook | No                                 | No   |
| 458 | 716 | 14 | Art. 6(5) Dissemination of Research                          | Spain    | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No   |
| 459 | 743 | 14 | Art. 6(5) Dissemination of Research                          | Sweden   | Fines - amount not available  | Yes - Details in the Workbook | No                                 | No   |
| 460 | 770 | 14 | Art. 6(5) Dissemination of Research                          | U.K.     | Unlimited fines   | Yes - Details in the Workbook | No                                 | No   |
| 461 |     |    |  |          | Art. 6(6) - Market Opeartors - Adoption of Structural Provisions  |                               |                                    |  |
| 462 |     |    |  | COUNTRY  | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 463 | 15  | 15 | Art. 6(6) Market Opeartors Adoption of Structural Provisions | Austria  | MAX € 30,000  | No                            | No                                 | No   |
| 464 | 42  | 15 | Art. 6(6) Market Opeartors                                   | Belgium  | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |  |                |  |                               |    |    |
|-----|-----|----|--|----------------|--|-------------------------------|----|----|
|     |     |    | Adoption of Structural Provisions                                  |                |  |                               |    |    |
| 465 | 69  | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Bulgaria       | No   | No                            | No | No |
| 466 | 96  | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Czech Republic | MAX € 700,000  | Yes - Details in the Workbook | No | No |
| 467 | 123 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Cyprus         | No   | No                            | No | No |
| 468 | 150 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Denmark        | No   | Yes - Details in the Workbook | No | No |
| 469 | 177 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Estonia        | MAX EEK 50,000   | Yes - Details in the Workbook | No | No |
| 470 | 204 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Finland        | No   | Yes - Details in the Workbook | No | No |
| 471 | 231 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | France         | No   | Yes - Details in the Workbook | No | No |
| 472 | 258 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Germany        | MAX € 100,000  | Yes - Details in the Workbook | No | No |
| 473 | 285 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Greece         | MIN € 3,000 MAX € 1,500,000  | Yes - Details in the Workbook | No | No |
| 474 | 312 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Hungary        | MIN € 200 MAX € 20,000   | No                            | No | No |
| 475 | 339 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural Provisions | Iceland        | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000 MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | No | No |

|     |     |    |   |                    |  |                                  |  |  |
|-----|-----|----|---|--------------------|--|----------------------------------|--|--|
| 476 | 366 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Ireland            | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter | Yes - Details in the<br>Workbook | MAX 1 year                             | MAX € 5,000  |
| 477 | 393 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Italy              | MIN € 2,580 MAX € 129,115  | Yes - Details in the<br>Workbook | No                                     | No   |
| 478 |     |    |   |                    | Art. 6(6) - Market Opeartors -<br>Adoption of Structural Provisions                    |                                  |  |  |
| 479 |     |    |   | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 480 | 420 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Latvia             | MAX Lats 10,000  | No                               | No                                     | No   |
| 481 | 447 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Lithuania          | Legal entities: MAX Lt 100,000<br>(€ 30,000)   | Yes - Details in the<br>Workbook | No                                     | No   |
| 482 | 474 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Luxembourg         | MIN € 125 MAX € 125,000  | No                               | No                                     | No   |
| 483 | 501 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Malta              | MAX Malta lire 40,000 (€<br>93,200)  | Yes - Details in the<br>Workbook | No                                     | No   |
| 484 | 528 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | the<br>Netherlands | MAX € 24,000   | Yes - Details in the<br>Workbook | MAX 2 years                            | MAX € 16,750 and<br>the Profit                           |
| 485 | 555 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Norway             | No   | No                               | No                                     | No   |
| 486 | 582 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Poland             | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 487 | 609 | 15 | Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Portugal           | MIN € 25,000 MAX €<br>2,500,000  | Yes - Details in the<br>Workbook | No                                     | No   |

|     |     |    |   |                   |  |                                  |  |  |
|-----|-----|----|---|-------------------|--|----------------------------------|--|--|
| 488 | 636 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | Romania           | MIN RON 500 MAX RON<br>50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX<br>5% of the paid-up share capital                  | Yes - Details in the<br>Workbook | No                                     | No   |
| 489 | 663 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | Slovakia          | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 490 | 690 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | Slovenia          | Market Operators: MIN € 25,000<br>MAX € 125,000<br>Person responsible within Legal<br>entity: MIN € 800 MAX € 1,400                  | Yes - Details in the<br>Workbook | No                                     | No   |
| 491 | 717 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | Spain             | MAX the Gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | No                                     | No   |
| 492 | 744 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | Sweden            | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 493 | 771 | 15 | Art. 6(6)<br>Market Operators<br>Adoption of Structural<br>Provisions | U.K.              | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 494 |     |    |   |                   | Art. 6(7) - Informing the Public<br>Correctly  |                                  |  |  |
| 495 |     |    |   | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 496 | 16  | 16 | Art. 6(7)<br>Informing the Public<br>Correctly                        | Austria           | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 497 | 43  | 16 | Art. 6(7)<br>Informing the Public<br>Correctly                        | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit   | Yes - Details in the<br>Workbook | No                                     | No   |
| 498 | 70  | 16 | Art. 6(7)<br>Informing the Public<br>Correctly                        | Bulgaria          | No   | No                               | No                                     | No   |
| 499 | 97  | 16 | Art. 6(7)<br>Informing the Public<br>Correctly                        | Czech<br>Republic | MAX € 350,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 500 | 124 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly                        | Cyprus            | MAX CYP 400,000 (€ 683,440)<br>or 2 times the Profit   | No                               | MAX 5 years                            | MAX CYP 50,000   |

|     |     |    |  |            |  |                                  |                                    |  |
|-----|-----|----|--|------------|--|----------------------------------|------------------------------------|--|
| 501 | 151 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Denmark    | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 502 | 178 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Estonia    | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 503 | 205 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Finland    | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 504 | 232 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | France     | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 505 | 259 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Germany    | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 506 | 286 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Greece     | MIN € 3,000 MAX € 1,500,000  | Yes - Details in the<br>Workbook | No                                 | No   |
| 507 | 313 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Hungary    | MIN € 4,000 MAX € 80,000   | No                               | No                                 | No   |
| 508 | 340 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Iceland    | MIN ISK 10,000 MAX ISK<br>2,000,000 (€ 118 - € 23,529)<br>per day                      | Yes - Details in the<br>Workbook | No                                 | No   |
| 509 | 367 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Ireland    | MAX € 2,500,000<br>+ Costs incurred by the<br>Regulator in investigating the<br>matter | Yes - Details in the<br>Workbook | MAX 1 year                         | MAX € 5,000  |
| 510 | 394 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Italy      | MIN € 5,000 MAX € 500,000  | Yes - Details in the<br>Workbook | No                                 | No   |
| 511 |     |    |  |            | Art. 6(7) - Informing the Public<br>Correctly  |                                  |                                    |  |
| 512 |     |    |  | COUNTRY    | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br>FINES AND OTHER<br>MEASURES |
| 513 | 421 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Latvia     | MAX Lats 10,000  | No                               | No                                 | No   |
| 514 | 448 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Lithuania  | No   | Yes - Details in the<br>Workbook | No                                 | No   |
| 515 | 475 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Luxembourg | MIN € 125 MAX € 125,000  | No                               | No                                 | No   |

|     |     |    |  |                    |   |                                  |                    |                                |
|-----|-----|----|--|--------------------|---|----------------------------------|--------------------|--------------------------------|
| 516 | 502 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Malta              | MAX Malta lire 40,000 (€<br>93,200)   | Yes - Details in the<br>Workbook | No                 | No                             |
| 517 | 529 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | the<br>Netherlands | MAX € 24,000  | Yes - Details in the<br>Workbook | MAX 2 years        | MAX € 16,750 and<br>the Profit |
| 518 | 556 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Norway             | No  | No                               | No                 | No                             |
| 519 | 583 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Poland             | MAX PLN 1,000,000 (€<br>264,550)  | Yes - Details in the<br>Workbook | No                 | No                             |
| 520 | 610 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Portugal           | MIN € 12,500 MAX €<br>1,250,000   | Yes - Details in the<br>Workbook | No                 | No                             |
| 521 | 637 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Romania            | MIN RON 500 MAX RON<br>50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX<br>5% of the paid-up share capital   | Yes - Details in the<br>Workbook | No                 | No                             |
| 522 | 664 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Slovakia           | MIN SKK 10,000 MAX SKK<br>20,000,000 (€ 300 - € 600,000)  | Yes - Details in the<br>Workbook | No                 | No                             |
| 523 | 691 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Slovenia           | No  | Yes - Details in the<br>Workbook | No                 | No                             |
| 524 | 718 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Spain              | For very serious infringements:<br>MAX 5 times the Profit<br>(if not determinable: 5% of the<br>offender's own funds or 5% of<br>the total funds used or €<br>300,506.05)<br>For serious infringements: MAX<br>the gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | No                 | No                             |
| 525 | 745 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | Sweden             | No  | No                               | No                 | No                             |
| 526 | 772 | 16 | Art. 6(7)<br>Informing the Public<br>Correctly | U.K.               | Unlimited fines   | Yes - Details in the<br>Workbook | MAX 7 years        | unlimited fines                |
| 527 |     |    |  |                    | Art. 6(8) - Dissemination of<br>Statistics by Public Institutions   |                                  |                    |                                |
| 528 |     |    |  | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS | CRIMINAL<br>SANCTIONS          |

|     |     |    |   |                   |  |                                  | IMPRISONMENT | FINES AND OTHER MEASURES |
|-----|-----|----|---|-------------------|--|----------------------------------|--------------|--------------------------|
| 529 | 17  | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Austria           | No   | No                               | No           | No                       |
| 530 | 44  | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit | Yes - Details in the<br>Workbook | No           | No                       |
| 531 | 71  | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Bulgaria          | No   | No                               | No           | No                       |
| 532 | 98  | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Czech<br>Republic | No   | Yes - Details in the<br>Workbook | No           | No                       |
| 533 | 125 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Cyprus            | No   | No                               | No           | No                       |
| 534 | 152 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Denmark           | No   | Yes - Details in the<br>Workbook | No           | No                       |
| 535 | 179 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Estonia           | No   | No                               | No           | No                       |
| 536 | 206 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Finland           | No   | No                               | No           | No                       |
| 537 | 233 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | France            | No   | No                               | No           | No                       |
| 538 | 260 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Germany           | No   | Yes - Details in the<br>Workbook | No           | No                       |
| 539 | 287 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Greece            | MIN € 3,000 MAX € 1,500,000                          | Yes - Details in the<br>Workbook | No           | No                       |

|     |     |    |   |                    |   |                                  |                                    |  |
|-----|-----|----|---|--------------------|---|----------------------------------|------------------------------------|--|
| 540 | 314 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Hungary            | No  | No                               | No                                 | No   |
| 541 | 341 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Iceland            | No  | Yes - Details in the<br>Workbook | No                                 | No   |
| 542 | 368 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Ireland            | No  | No                               | No                                 | No   |
| 543 | 395 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Italy              | MIN € 5,000 MAX € 500,000   | Yes - Details in the<br>Workbook | No                                 | No   |
| 544 |     |    |   |                    | Art. 6(8) - Dissemination of<br>Statistics by Public Institutions |                                  |                                    |  |
| 545 |     |    |   | COUNTRY            | ADMINISTRATIVE PECUNIARY<br>SANCTIONS                             | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br>FINES AND OTHER<br>MEASURES |
| 546 | 422 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Latvia             | No  | No                               | No                                 | No   |
| 547 | 449 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Lithuania          | No  | Yes - Details in the<br>Workbook | No                                 | No   |
| 548 | 476 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Luxembourg         | MIN € 125 MAX € 125,000   | No                               | No                                 | No   |
| 549 | 503 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Malta              | MAX Malta lire 40,000 (€<br>93,200)                               | Yes - Details in the<br>Workbook | No                                 | No   |
| 550 | 530 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | the<br>Netherlands | No  | No                               | No                                 | No   |
| 551 | 557 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Norway             | No  | No                               | No                                 | No   |

|     |     |    |   |          |  |                                  |  |  |
|-----|-----|----|---|----------|--|----------------------------------|--|--|
| 552 | 584 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Poland   | No   | No                               | No                                     | No   |
| 553 | 611 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Portugal | MIN € 25,000 MAX €<br>2,500,000  | Yes - Details in the<br>Workbook | No                                     | No   |
| 554 | 638 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Romania  | MIN RON 500 MAX RON<br>50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX<br>5% of the paid-up share capital                  | Yes - Details in the<br>Workbook | No                                     | No   |
| 555 | 665 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Slovakia | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 556 | 692 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Slovenia | No   | Yes - Details in the<br>Workbook | No                                     | No   |
| 557 | 719 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Spain    | MAX the Gross Profit<br>(if not determinable: 2% of the<br>offender's own funds or 2% of<br>the total funds used or €<br>150,253.03) | Yes - Details in the<br>Workbook | No                                     | No   |
| 558 | 746 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | Sweden   | No   | No                               | MAX 4 years                            | No   |
| 559 | 773 | 17 | Art. 6(8)<br>Dissemination of<br>Statistics by Public<br>Institutions | U.K.     | No   | No                               | No                                     | No   |
| 560 |     |    |   |          | Art. 6(9) - Notification of<br>Suspicious Transactions   |                                  |  |  |
| 561 |     |    |   | COUNTRY  | ADMINISTRATIVE PECUNIARY<br>SANCTIONS  | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br><br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br><br>FINES AND OTHER<br>MEASURES |
| 562 | 18  | 18 | Art. 6(9)<br>Notification of Suspicious<br>Transactions               | Austria  | MAX € 30,000   | No                               | No                                     | No   |
| 563 | 45  | 18 | Art. 6(9)<br>Notification of Suspicious<br>Transactions               | Belgium  | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit   | Yes - Details in the<br>Workbook | No                                     | No   |
| 564 | 72  | 18 | Art. 6(9)   | Bulgaria | MIN BGN 200 MAX BGN 2,000  | Yes - Details in the             | No                                     | No   |

|     |     |    |  |                |   |                               |                                 |                              |
|-----|-----|----|--|----------------|---|-------------------------------|---------------------------------|------------------------------|
|     |     |    | Notification of Suspicious Transactions              |                | (€ 100 - € 1,000)<br>Legal entities: MIN BGN 500<br>MAX BGN 5,000   | Workbook                      |                                 |                              |
| 565 | 99  | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Czech Republic | MAX € 175,000   | Yes - Details in the Workbook | No                              | No                           |
| 566 | 126 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Cyprus         | MAX CYP 600,000 (€ 1,025,160)   | No                            | No                              | No                           |
| 567 | 153 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Denmark        | No  | Yes - Details in the Workbook | No                              | Fines - amount not available |
| 568 | 180 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Estonia        | MAX EEK 50,000  | Yes - Details in the Workbook | No                              | No                           |
| 569 | 207 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Finland        | No  | Yes - Details in the Workbook | No                              | No                           |
| 570 | 234 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | France         | MAX € 1,500,000   | Yes - Details in the Workbook | MAX 1 year                      | MAX € 15,000                 |
| 571 | 261 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Germany        | MAX € 50,000  | No                            | No                              | No                           |
| 572 | 288 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Greece         | MIN € 3,000 MAX € 1,500,000   | Yes - Details in the Workbook | No                              | No                           |
| 573 | 315 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Hungary        | MIN € 200 MAX € 20,000  | No                            | No                              | No                           |
| 574 | 342 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Iceland        | MIN ISK 10,000 MAX ISK 20,000,000 (€ 118 - € 235,294)<br>Legal entities: MIN ISK 50,000<br>MAX ISK 50,000,000 (€ 588 - € 588,235) | Yes - Details in the Workbook | No                              | No                           |
| 575 | 369 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Ireland        | MAX € 2,500,000<br>+ Costs incurred by the Regulator in investigating the matter  | Yes - Details in the Workbook | MAX 1 year                      | MAX € 5,000                  |
| 576 | 396 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Italy          | MIN € 2,580 MAX € 129,115   | Yes - Details in the Workbook | No                              | No                           |
| 577 |     |    |  |                | Art. 6(9) - Notification of Suspicious Transactions   |                               |                                 |                              |
| 578 |     |    |  | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS           |

|     |     |    |  |                 |  |                               |            | FINES AND OTHER MEASURES     |
|-----|-----|----|--|-----------------|--|-------------------------------|------------|------------------------------|
| 579 | 423 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Latvia          | MAX Lats 10,000  | No                            | No         | No                           |
| 580 | 450 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000)  | Yes - Details in the Workbook | No         | No                           |
| 581 | 477 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Luxembourg      | MIN € 125 MAX € 125,000  | Yes - Details in the Workbook | No         | No                           |
| 582 | 504 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Malta           | MAX Malta lire 40,000 (€ 93,200)   | Yes - Details in the Workbook | No         | No                           |
| 583 | 531 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | the Netherlands | MAX € 24,000   | No                            | No         | No                           |
| 584 | 558 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Norway          | No   | No                            | MAX 1 year | Fines - amount not available |
| 585 | 585 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Poland          | MAX PLN 1,000,000 (€ 264,550)  | No                            | No         | No                           |
| 586 | 612 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Portugal        | MIN € 12,500 MAX € 1,250,000   | Yes - Details in the Workbook | No         | No                           |
| 587 | 639 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Romania         | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital            | Yes - Details in the Workbook | No         | No                           |
| 588 | 666 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Slovakia        | No   | Yes - Details in the Workbook | No         | No                           |
| 589 | 693 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Slovenia        | No   | Yes - Details in the Workbook | No         | No                           |
| 590 | 720 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Spain           | MAX the Gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No         | No                           |
| 591 | 747 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | Sweden          | No   | No                            | No         | Fines - amount not available |
| 592 | 774 | 18 | Art. 6(9)<br>Notification of Suspicious Transactions | U.K.            | Unlimited fines  | Yes - Details in the Workbook | No         | No                           |

| 593 |     |    |  |                | Art. 13 - Breach of Professional Secrecy |                               |                                 |   |
|-----|-----|----|--|----------------|--|-------------------------------|---------------------------------|---|
| 594 |     |    |  | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS       | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES |
| 595 | 19  | 19 | Art. 13 Breach of Professional Secrecy | Austria        | No                                       | No                            | MAX 3 years                     | No  |
| 596 | 46  | 19 | Art. 13 Breach of Professional Secrecy | Belgium        | No                                       | No                            | No                              | No  |
| 597 | 73  | 19 | Art. 13 Breach of Professional Secrecy | Bulgaria       | No                                       | Yes - Details in the Workbook | No                              | No  |
| 598 | 100 | 19 | Art. 13 Breach of Professional Secrecy | Czech Republic | MAX € 350,000                            | Yes - Details in the Workbook | No                              | No  |
| 599 | 127 | 19 | Art. 13 Breach of Professional Secrecy | Cyprus         | No                                       | Yes - Details in the Workbook | MAX 2 years                     | MAX CYP 5,000                               |
| 600 | 154 | 19 | Art. 13 Breach of Professional Secrecy | Denmark        | No                                       | Yes - Details in the Workbook | MAX 6 months                    | Fines - amount not available                |
| 601 | 181 | 19 | Art. 13 Breach of Professional Secrecy | Estonia        | No                                       | Yes - Details in the Workbook | No                              | Fines - amount not available                |
| 602 | 208 | 19 | Art. 13 Breach of Professional Secrecy | Finland        | No                                       | Yes - Details in the Workbook | No                              | No  |
| 603 | 235 | 19 | Art. 13 Breach of Professional Secrecy | France         | No                                       | Yes - Details in the Workbook | MAX 1 year                      | MAX € 15,000                                |
| 604 | 262 | 19 | Art. 13 Breach of Professional Secrecy | Germany        | damages claim possible                   | Yes - Details in the Workbook | MAX 2 years                     | unlimited fine                              |
| 605 | 289 | 19 | Art. 13 Breach of Professional Secrecy | Greece         | MAX the amount of a monthly wage         | Yes - Details in the Workbook | MAX 1 year                      | Fines - amount not available                |
| 606 | 316 | 19 | Art. 13 Breach of Professional Secrecy | Hungary        | No                                       | No                            | No                              | No  |
| 607 | 343 | 19 | Art. 13 Breach of Professional Secrecy | Iceland        | No                                       | Yes - Details in the Workbook | MAX 3 years                     | No  |
| 608 | 370 | 19 | Art. 13                                | Ireland        | No                                       | No                            | MAX 5 years                     | MAX € 30,000                                |

|     |     |    |  |                 |   |                               |                                 |   |
|-----|-----|----|--|-----------------|---|-------------------------------|---------------------------------|---|
|     |     |    | Breach of Professional Secrecy         |                 |   |                               |                                 |   |
| 609 | 397 | 19 | Art. 13 Breach of Professional Secrecy | Italy           | Reduction of the salary                               | Yes - Details in the Workbook | MIN 6 months MAX 5 years        | No  |
| 610 |     |    |  |                 | Art. 13 - Breach of Professional Secrecy              |                               |                                 |   |
| 611 |     |    |  | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS                    | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES |
| 612 | 424 | 19 | Art. 13 Breach of Professional Secrecy | Latvia          | No  | No                            | Custodial arrest                | MAX 20 times the minimum monthly wage       |
| 613 | 451 | 19 | Art. 13 Breach of Professional Secrecy | Lithuania       | No  | Yes - Details in the Workbook | No                              | No  |
| 614 | 478 | 19 | Art. 13 Breach of Professional Secrecy | Luxembourg      | MIN € 125 MAX € 125,000                               | Yes - Details in the Workbook | No                              | No  |
| 615 | 505 | 19 | Art. 13 Breach of Professional Secrecy | Malta           | No  | Yes - Details in the Workbook | MAX 2 years                     | MAX Malta Liri 20,000 (€ 46,600)            |
| 616 | 532 | 19 | Art. 13 Breach of Professional Secrecy | the Netherlands | No  | Yes - Details in the Workbook | No                              | No  |
| 617 | 559 | 19 | Art. 13 Breach of Professional Secrecy | Norway          | No  | No                            | MAX 3 years                     | Fines - amount not available                |
| 618 | 586 | 19 | Art. 13 Breach of Professional Secrecy | Poland          | No  | No                            | MAX 5 years                     | MAX PLN 1,000,000                           |
| 619 | 613 | 19 | Art. 13 Breach of Professional Secrecy | Portugal        | No  | No                            | MAX 3 years                     | MIN 10 days MAX 360 days                    |
| 620 | 640 | 19 | Art. 13 Breach of Professional Secrecy | Romania         | Other Law   | Yes - Details in the Workbook | No                              | Yes - Details in the Workbook               |
| 621 | 667 | 19 | Art. 13 Breach of Professional Secrecy | Slovakia        | A fine up to SKK 20,000,000 (€ 600,000) or the Profit | Yes - Details in the Workbook | No                              | No  |
| 622 | 694 | 19 | Art. 13 Breach of Professional Secrecy | Slovenia        | No  | Yes - Details in the Workbook | No                              | No  |
| 623 | 721 | 19 | Art. 13 Breach of Professional         | Spain           | No  | Yes - Details in the Workbook | MIN 1 MAX 4 years               | MIN 12 MAX 18 months                        |

|     |     |    |  |                   |   |                                  |                                    |  |
|-----|-----|----|--|-------------------|---|----------------------------------|------------------------------------|--|
|     |     |    | Secrecy  |                   |   |                                  |                                    |  |
| 624 | 748 | 19 | Art. 13<br>Breach of Professional<br>Secrecy   | Sweden            | No  | No                               | No                                 | No   |
| 625 | 775 | 19 | Art. 13<br>Breach of Professional<br>Secrecy   | U.K.              | No  | No                               | MAX 2 years                        | Yes - Max Fine Euro<br>7,500                         |
| 626 |     |    |  |                   | Art.14(3) Failure to co-operate in<br>investigation. Art. 12(2) (a)<br>access to documents. (Art 14 (3)<br>and 12 (2) (a)(b)(c )(d) refer to<br>the failure of cooperation with<br>the competent authority) |                                  |                                    |  |
| 627 |     |    |  | COUNTRY           | ADMINISTRATIVE PECUNIARY<br>SANCTIONS   | ADMINISTRATIVE<br>MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL<br>SANCTIONS<br>FINES AND OTHER<br>MEASURES |
| 628 | 20  | 20 | Art.14(3) Failure to co-<br>operate in investigation.<br>Art. 12(2) (a) access to<br>documents. (Art 14 (3)<br>and 12 (2) (a)(b)(c )(d)<br>refer to the failure of<br>cooperation with the<br>competent authority) | Austria           | MAX € 30,000  | Yes - Details in the<br>Workbook | No                                 | No   |
| 629 | 47  | 20 | Art.14(3) Failure to co-<br>operate in investigation.<br>Art. 12(2) (a) access to<br>documents. (Art 14 (3)<br>and 12 (2) (a)(b)(c )(d)<br>refer to the failure of<br>cooperation with the<br>competent authority) | Belgium           | MIN € 2,500 MAX € 2,500,000<br>or 3 times the Profit  | Yes - Details in the<br>Workbook | MIN 1 month MAX 1<br>year          | MIN € 250 MAX €<br>2,500,000                         |
| 630 | 74  | 20 | Art.14(3) Failure to co-<br>operate in investigation.<br>Art. 12(2) (a) access to<br>documents. (Art 14 (3)<br>and 12 (2) (a)(b)(c )(d)<br>refer to the failure of<br>cooperation with the<br>competent authority) | Bulgaria          | No  | Yes - Details in the<br>Workbook | No                                 | No   |
| 631 | 101 | 20 | Art.14(3) Failure to co-<br>operate in investigation.<br>Art. 12(2) (a) access to<br>documents. (Art 14 (3)<br>and 12 (2) (a)(b)(c )(d)<br>refer to the failure of   | Czech<br>Republic | MAX € 700,000   | Yes - Details in the<br>Workbook | No                                 | No   |

|     |     |    |  |         |  |                               |             |                               |
|-----|-----|----|--|---------|--|-------------------------------|-------------|-------------------------------|
|     |     |    | cooperation with the competent authority)  |         |  |                               |             |                               |
| 632 | 128 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Cyprus  | MAX CYP 200,000 (€ 341,720) or 2 times the Profit + CYP 500 (€ 854) for each day on which the breach continues to take place | No                            | No          | Yes - Details in the Workbook |
| 633 | 155 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Denmark | No   | Yes - Details in the Workbook | No          | No                            |
| 634 | 182 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Estonia | MAX EEK 18,000<br>Legal entities MAX EEK 50,000  | Yes - Details in the Workbook | No          | No                            |
| 635 | 209 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Finland | No   | Yes - Details in the Workbook | No          | No                            |
| 636 | 236 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | France  | No   | Yes - Details in the Workbook | MAX 2 years | MAX € 300,000                 |
| 637 | 263 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of   | Germany | MAX € 50,000   | Yes - Details in the Workbook | No          | No                            |

|     |     |    |   |         |  |                               |                   |                       |
|-----|-----|----|---|---------|--|-------------------------------|-------------------|-----------------------|
|     |     |    | cooperation with the competent authority)   |         |  |                               |                   |                       |
| 638 | 290 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Greece  | MIN € 3,000 MAX € 500,000  | Yes - Details in the Workbook | Imprisonment      | Fines - max € 146,000 |
| 639 | 317 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Hungary | MAX € 40,000   | No                            | No                | No                    |
| 640 | 344 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Iceland | MIN ISK 10,000 MAX ISK 1,000,000 (€ 118 - € 11,765) per day  | Yes - Details in the Workbook | No                | No                    |
| 641 | 371 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Ireland | No   | Yes - Details in the Workbook | MAX 1 year        | MAX € 5,000           |
| 642 | 398 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Italy   | MIN € 50,000 MAX € 1,000,000   | Yes - Details in the Workbook | MIN 1 MAX 8 years | No                    |
| 643 |     |    |   |         | Art.14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) |                               |                   |                       |

| 644 |     |    |   | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS        | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES   |
|-----|-----|----|---|-----------------|---|-------------------------------|---------------------------------|---|
| 645 | 425 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Latvia          | No  | No                            | Custodial arrest                | MAX 30 times the minimum monthly wage   |
| 646 | 452 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No                              | No  |
| 647 | 479 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Luxembourg      | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No                              | No  |
| 648 | 506 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Malta           | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years                     | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 649 | 533 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | the Netherlands | MAX € 6,000                               | Yes - Details in the Workbook | MAX 2 years                     | MAX € 16,750 and the Profit   |
| 650 | 560 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to   | Norway          | No  | No                            | MAX 1 year                      | Fines - amount not available  |

|     |     |    |  |          |  |                               |              |                              |
|-----|-----|----|--|----------|--|-------------------------------|--------------|------------------------------|
|     |     |    | documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)   |          |  |                               |              |                              |
| 651 | 587 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Poland   | No   | No                            | Imprisonment | Fines - amount not available |
| 652 | 614 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Portugal | MIN € 2,500 MAX € 1,250,000  | Yes - Details in the Workbook | No           | No                           |
| 653 | 641 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital  | Yes - Details in the Workbook | No           | No                           |
| 654 | 668 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovakia | Natural persons: MAX SKK 50,000 (€ 1,500)<br>Legal entities: MAX SKK 500,000 (€ 15,000)  | Yes - Details in the Workbook | No           | No                           |
| 655 | 695 | 20 | Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovenia | Individual persons: MIN € 130 MAX € 1,200<br>Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400 | Yes - Details in the Workbook | No           | No                           |

|     |     |    |  |         |   |                               |                                    |   |
|-----|-----|----|--|---------|---|-------------------------------|------------------------------------|---|
| 656 | 722 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Spain   | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No                                 | No  |
| 657 | 749 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Sweden  | Fines - amount not available  | Yes - Details in the Workbook | No                                 | No  |
| 658 | 776 | 20 | Art. 14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | U.K.    | Unlimited Fines   | Yes - Details in the Workbook | MAX 2 years                        | Max Fine Euro 7,500 (details in the Workbook regarding obstruction) |
| 659 |     |    |  |         | Art. 14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)  |                               |                                    |   |
| 660 |     |    |  | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES                      |
| 661 | 21  | 21 | Art. 14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)   | Austria | MAX € 30,000  | Yes - Details in the Workbook | No                                 | No  |
| 662 | 48  | 21 | Art. 14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2)   | Belgium | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | No                                 | No  |

|     |     |    |  |                |  |                               |             |                               |
|-----|-----|----|--|----------------|--|-------------------------------|-------------|-------------------------------|
|     |     |    | (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)   |                |  |                               |             |                               |
| 663 | 75  | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Bulgaria       | No   | Yes - Details in the Workbook | No          | No                            |
| 664 | 102 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Czech Republic | MAX € 175,000  | Yes - Details in the Workbook | No          | No                            |
| 665 | 129 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Cyprus         | MAX CYP 200,000 (€ 341,720) or 2 times the Profit + CYP 500 (€ 854) for each day on which the breach continues to take place | No                            | No          | Yes - Details in the Workbook |
| 666 | 156 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Denmark        | No   | Yes - Details in the Workbook | No          | No                            |
| 667 | 183 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Estonia        | MAX EEK 18,000<br>Legal entities MAX EEK 50,000  | Yes - Details in the Workbook | No          | No                            |
| 668 | 210 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Finland        | No   | Yes - Details in the Workbook | No          | No                            |
| 669 | 237 | 21 | Art.14(3) and 12(2) (b) demand information (Art  | France         | No   | Yes - Details in the Workbook | MAX 2 years | MAX € 300,000                 |

|     |     |    |  |         |   |                               |                   |                       |
|-----|-----|----|--|---------|---|-------------------------------|-------------------|-----------------------|
|     |     |    | 14 (3) and 12 (2)<br>(a)(b)(c)(d) refer to the failure of cooperation with the competent authority)  |         |   |                               |                   |                       |
| 670 | 264 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Germany | MAX € 50,000  | Yes - Details in the Workbook | No                | No                    |
| 671 | 291 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Greece  | MIN € 3,000 MAX € 500,000                                   | Yes - Details in the Workbook | MIN 1 year        | Fines - max € 146,000 |
| 672 | 318 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Hungary | MAX € 40,000  | No                            | No                | No                    |
| 673 | 345 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Iceland | MIN ISK 10,000 MAX ISK 1,000,000 (€ 118 - € 11,765) per day | Yes - Details in the Workbook | No                | No                    |
| 674 | 372 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Ireland | No  | Yes - Details in the Workbook | MAX 1 year        | MAX € 5,000           |
| 675 | 399 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Italy   | MIN € 50,000 MAX € 1,000,000                                | Yes - Details in the Workbook | MIN 1 MAX 8 years | No                    |
| 676 |     |    |  |         | Art.14(3) and 12(2) (b) demand                              |                               |                   |                       |

|     |     |    |  |                 | information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |                               |                                    |   |
|-----|-----|----|--|-----------------|---|-------------------------------|------------------------------------|---|
| 677 |     |    |  | COUNTRY         | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES  |
| 678 | 426 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Latvia          | No  | No                            | Custodial arrest                   | MAX 30 times the minimum monthly wage   |
| 679 | 453 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000)   | Yes - Details in the Workbook | No                                 | No  |
| 680 | 480 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Luxembourg      | MIN € 125 MAX € 25,000  | Yes - Details in the Workbook | No                                 | No  |
| 681 | 507 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Malta           | MAX Malta lire 40,000 (€ 93,200)  | Yes - Details in the Workbook | MAX 7 years                        | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 682 | 534 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | the Netherlands | MAX € 6,000   | Yes - Details in the Workbook | MAX 2 years                        | MAX € 16,750 and the Profit   |
| 683 | 561 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the  | Norway          | No  | No                            | MAX 1 year                         | Fines - amount not available  |

|     |     |    |  |          |   |                               |              |                              |
|-----|-----|----|--|----------|---|-------------------------------|--------------|------------------------------|
|     |     |    | failure of cooperation with the competent authority)   |          |   |                               |              |                              |
| 684 | 588 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Poland   | No  | No                            | Imprisonment | Fines - amount not available |
| 685 | 615 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Portugal | MIN € 2,500 MAX € 1,250,000   | Yes - Details in the Workbook | No           | No                           |
| 686 | 642 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital   | Yes - Details in the Workbook | No           | No                           |
| 687 | 669 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovakia | Natural persons: MAX SKK 50,000 (€ 1,500)<br>Legal entities: MAX SKK 500,000 (€ 15,000)   | Yes - Details in the Workbook | No           | No                           |
| 688 | 696 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovenia | Individual persons: MIN € 130 MAX € 1,200<br>Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400  | Yes - Details in the Workbook | No           | No                           |
| 689 | 723 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Spain    | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of | Yes - Details in the Workbook | No           | No                           |

|     |     |    |  |          |   |                               |                                    |   |
|-----|-----|----|--|----------|---|-------------------------------|------------------------------------|---|
|     |     |    |  |          | the total funds used or € 150,253.03)   |                               |                                    |   |
| 690 | 750 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Sweden   | Fines - amount not available  | Yes - Details in the Workbook | No                                 | No  |
| 691 | 777 | 21 | Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | U.K.     | Unlimited Fines   | Yes - Details in the Workbook | MAX 2 years                        | Max Fine Euro 7,500 (details in the Workbook regarding obstruction) |
| 692 |     |    |  |          | Art.14(3) and 12(2)(c) on-site inspections(Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |                               |                                    |   |
| 693 |     |    |  | COUNTRY  | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES                      |
| 694 | 22  | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Austria  | MAX € 30,000  | Yes - Details in the Workbook | No                                 | No  |
| 695 | 49  | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Belgium  | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit   | Yes - Details in the Workbook | No                                 | No  |
| 696 | 76  | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Bulgaria | No  | Yes - Details in the Workbook | No                                 | No  |
| 697 | 103 | 22 | Art.14(3) and 12(2)(c)   | Czech    | MAX € 175,000   | Yes - Details in the          | No                                 | No  |

|     |     |    | on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)                        | Republic |  | Workbook                      |             |                               |
|-----|-----|----|--|----------|--|-------------------------------|-------------|-------------------------------|
| 698 | 130 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Cyprus   | MAX CYP 200,000 (€ 341,720) or 2 times the Profit + CYP 500 (€ 854) for each day on which the breach continues to take place | No                            | No          | Yes - Details in the Workbook |
| 699 | 157 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Denmark  | No   | Yes - Details in the Workbook | No          | No                            |
| 700 | 184 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Estonia  | MAX EEK 50,000   | Yes - Details in the Workbook | No          | No                            |
| 701 | 211 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Finland  | No   | Yes - Details in the Workbook | No          | No                            |
| 702 | 238 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | France   | No   | Yes - Details in the Workbook | MAX 2 years | MAX € 300,000                 |
| 703 | 265 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Germany  | MAX € 50,000   | Yes - Details in the Workbook | No          | No                            |

|     |     |    |  |         |   |                               |                                    |  |
|-----|-----|----|--|---------|---|-------------------------------|------------------------------------|--|
| 704 | 292 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Greece  | MIN € 3,000 MAX € 500,000   | Yes - Details in the Workbook | Imprisonment                       | Fines - max € 146,000                          |
| 705 | 319 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Hungary | MAX € 40,000  | No                            | No                                 | No   |
| 706 | 346 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Iceland | MIN ISK 10,000 MAX ISK 1,000,000 (€ 118 - € 11,765) per day   | Yes - Details in the Workbook | No                                 | No   |
| 707 | 373 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Ireland | No  | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 708 | 400 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Italy   | MIN € 50,000 MAX € 1,000,000  | Yes - Details in the Workbook | MIN 1 MAX 8 years                  | No   |
| 709 |     |    |  |         | Art.14(3) and 12(2)(c) on-site inspections(Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |                               |                                    |  |
| 710 |     |    |  | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 711 | 427 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Latvia  | No  | No                            | Custodial arrest                   | MAX 30 times the minimum monthly wage          |

|     |     |    |  |                 |   |                               |              |   |
|-----|-----|----|--|-----------------|---|-------------------------------|--------------|---|
|     |     |    | (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)   |                 |   |                               |              |   |
| 712 | 454 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No           | No  |
| 713 | 481 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Luxembourg      | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No           | No  |
| 714 | 508 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Malta           | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years  | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 715 | 535 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | the Netherlands | No  | No                            | No           | No  |
| 716 | 562 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Norway          | No  | No                            | MAX 1 year   | Fines - amount not available  |
| 717 | 589 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Poland          | No  | No                            | Imprisonment | Fines - amount not available  |
| 718 | 616 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art  | Portugal        | MIN € 2,500 MAX € 1,250,000               | Yes - Details in the Workbook | No           | No  |

|     |     |    |  |          |   |                               |             |  |
|-----|-----|----|--|----------|---|-------------------------------|-------------|--|
|     |     |    | 14 (3) and 12 (2)<br>(a)(b)(c)(d) refer to the failure of cooperation with the competent authority)  |          |   |                               |             |  |
| 719 | 643 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital   | Yes - Details in the Workbook | No          | No   |
| 720 | 670 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovakia | Natural persons: MAX SKK 50,000 (€ 1,500)<br>Legal entities: MAX SKK 500,000 (€ 15,000)   | Yes - Details in the Workbook | No          | No   |
| 721 | 697 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovenia | Individual persons: MIN € 130 MAX € 1,200<br>Legal entities: MIN € 25,000 MAX € 125,000<br>Person responsible within Legal entity: MIN € 800 MAX € 1,400  | Yes - Details in the Workbook | No          | No   |
| 722 | 724 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Spain    | For very serious infringements: MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05)<br>For serious infringements: MAX the gross Profit (if not determinable: 2% of the offender's own funds or 2% of the total funds used or € 150,253.03) | Yes - Details in the Workbook | No          | No   |
| 723 | 751 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Sweden   | No  | No                            | No          | No   |
| 724 | 778 | 22 | Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2)  | U.K.     | Unlimited Fines   | Yes - Details in the Workbook | Max 2 years | Max Fine Euro 7,500 (details in the Workbook regarding |

|     |     |    |   |                |  |                               |                                 |   |
|-----|-----|----|---|----------------|--|-------------------------------|---------------------------------|---|
|     |     |    | (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)  |                |  |                               |                                 | obstruction)                                |
| 725 |     |    |   |                | Art.14(3) and 12(2)(d) telephone and data traffic records(Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |                               |                                 |   |
| 726 |     |    |   | COUNTRY        | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES |
| 727 | 23  | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Austria        | No   | Yes - Details in the Workbook | MAX 5 years                     | No  |
| 728 | 50  | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit  | Yes - Details in the Workbook | No                              | No  |
| 729 | 77  | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Bulgaria       | No   | Yes - Details in the Workbook | No                              | No  |
| 730 | 104 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Czech Republic | MAX € 70,000   | Yes - Details in the Workbook | No                              | No  |
| 731 | 131 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of   | Cyprus         | MAX CYP 200,000 (€ 341,720) or 2 times the Profit + CYP 500 (€ 854) for each day on which the breach continues to take place                                   | No                            | No                              | Yes - Details in the Workbook               |

|     |     |    |   |         |                           |                               |              |                       |
|-----|-----|----|---|---------|---------------------------|-------------------------------|--------------|-----------------------|
|     |     |    | cooperation with the competent authority)   |         |                           |                               |              |                       |
| 732 | 158 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Denmark | No                        | Yes - Details in the Workbook | No           | No                    |
| 733 | 185 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Estonia | MAX EEK 50,000            | Yes - Details in the Workbook | No           | No                    |
| 734 | 212 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Finland | No                        | No                            | No           | No                    |
| 735 | 239 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | France  | No                        | Yes - Details in the Workbook | MAX 2 years  | MAX € 300,000         |
| 736 | 266 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Germany | MAX € 50,000              | Yes - Details in the Workbook | No           | No                    |
| 737 | 293 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Greece  | MIN € 3,000 MAX € 500,000 | Yes - Details in the Workbook | Imprisonment | Fines - max € 146,000 |
| 738 | 320 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer   | Hungary | MAX € 40,000              | No                            | No           | No                    |

|     |     |    |   |           |  |                               |                                    |  |
|-----|-----|----|---|-----------|--|-------------------------------|------------------------------------|--|
|     |     |    | to the failure of cooperation with the competent authority)   |           |  |                               |                                    |  |
| 739 | 347 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Iceland   | MIN ISK 10,000 MAX ISK 1,000,000 (€ 118 - € 11,765) per day  | Yes - Details in the Workbook | No                                 | No   |
| 740 | 374 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Ireland   | No   | Yes - Details in the Workbook | MAX 1 year                         | MAX € 5,000                                    |
| 741 | 401 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Italy     | MIN € 50,000 MAX € 1,000,000   | Yes - Details in the Workbook | MIN 1 MAX 8 years                  | No   |
| 742 |     |    |   |           | Art.14(3) and 12(2)(d) telephone and data traffic records(Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |                               |                                    |  |
| 743 |     |    |   | COUNTRY   | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 744 | 428 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Latvia    | No   | No                            | Custodial arrest                   | MAX 30 times the minimum monthly wage          |
| 745 | 455 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the                      | Lithuania | Legal entities: MAX Lt 100,000 (€ 30,000)  | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |   |                 |   |                               |              |   |
|-----|-----|----|---|-----------------|---|-------------------------------|--------------|---|
|     |     |    | competent authority)  |                 |   |                               |              |   |
| 746 | 482 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Luxembourg      | MIN € 125 MAX € 25,000  | Yes - Details in the Workbook | No           | No  |
| 747 | 509 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Malta           | MAX Malta lire 40,000 (€ 93,200)  | Yes - Details in the Workbook | MAX 7 years  | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 748 | 536 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | the Netherlands | No  | No                            | No           | No  |
| 749 | 563 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Norway          | No  | No                            | MAX 1 year   | Fines - amount not available  |
| 750 | 590 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Poland          | No  | No                            | Imprisonment | Fines - amount not available  |
| 751 | 617 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Portugal        | No  | No                            | No           | No  |
| 752 | 644 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of   | Romania         | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital | Yes - Details in the Workbook | No           | No  |

|     |     |    |   |          |  |                               |                    |   |
|-----|-----|----|---|----------|--|-------------------------------|--------------------|---|
|     |     |    | cooperation with the competent authority)   |          |  |                               |                    |   |
| 753 | 671 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovakia | MIN SKK 10,000 MAX SKK 20,000,000 (€ 300 - € 600,000)  | Yes - Details in the Workbook | No                 | No  |
| 754 | 698 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Slovenia | No   | Yes - Details in the Workbook | No                 | No  |
| 755 | 725 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Spain    | No   | No                            | No                 | No  |
| 756 | 752 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | Sweden   | Fines - amount not available   | Yes - Details in the Workbook | No                 | No  |
| 757 | 779 | 23 | Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | U.K.     | Unlimited Fines  | Yes - Details in the Workbook | MAX 2 years        | Max Fine - Euro 7,500 (details in the Workbook regarding obstruction) |
| 758 |     |    |   |          | Art.14(3) and 12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                    |   |
| 759 |     |    |   | COUNTRY  | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS | CRIMINAL SANCTIONS  |

|     |     |    |   |                |   |                               | IMPRISONMENT | FINES AND OTHER MEASURES      |
|-----|-----|----|---|----------------|---|-------------------------------|--------------|-------------------------------|
| 760 | 24  | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Austria        | Yes - Details in the Workbook                     | Yes - Details in the Workbook | No           | Yes - Details in the Workbook |
| 761 | 51  | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit | Yes - Details in the Workbook | No           | No                            |
| 762 | 78  | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | No  | Yes - Details in the Workbook | No           | No                            |
| 763 | 105 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Czech Republic | MAX € 700,000                                     | Yes - Details in the Workbook | MAX 6 months | MAX € 180,000                 |

|     |     |    |   |         |                               |                               |    |                               |
|-----|-----|----|---|---------|-------------------------------|-------------------------------|----|-------------------------------|
|     |     |    | with the temporary prohibition of professional activities)  |         |                               |                               |    |                               |
| 764 | 132 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Cyprus  | No                            | No                            | No | Yes - Details in the Workbook |
| 765 | 159 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark | No                            | Yes - Details in the Workbook | No | No                            |
| 766 | 186 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Estonia | MIN EEK 18,000 MAX EEK 50,000 | Yes - Details in the Workbook | No | No                            |
| 767 | 213 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Finland | No                            | Yes - Details in the Workbook | No | No                            |

|     |     |    |   |         |              |                               |             |               |
|-----|-----|----|---|---------|--------------|-------------------------------|-------------|---------------|
|     |     |    | with the temporary prohibition of professional activities)  |         |              |                               |             |               |
| 768 | 240 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | France  | No           | Yes - Details in the Workbook | MAX 2 years | MAX € 300,000 |
| 769 | 267 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Germany | MAX € 50,000 | Yes - Details in the Workbook | No          | No            |
| 770 | 294 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Greece  | No           | Yes - Details in the Workbook | No          | No            |
| 771 | 321 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Hungary | MAX € 40,000 | No                            | No          | No            |

|     |     |    |   |         |   |                               |                   |    |
|-----|-----|----|---|---------|---|-------------------------------|-------------------|----|
|     |     |    | with the temporary prohibition of professional activities)  |         |   |                               |                   |    |
| 772 | 348 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Iceland | MIN ISK 10,000 MAX ISK 2,000,000 (€ 118 - € 23,529) per day   | Yes - Details in the Workbook | No                | No |
| 773 | 375 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Ireland | No  | Yes - Details in the Workbook | No                | No |
| 774 | 402 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Italy   | MIN € 50,000 MAX € 1,000,000  | Yes - Details in the Workbook | MIN 1 MAX 8 years | No |
| 775 |     |    |   |         | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                   |    |

| 776 |     |    |   | COUNTRY    | ADMINISTRATIVE PECUNIARY SANCTIONS        | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES   |
|-----|-----|----|---|------------|---|-------------------------------|---------------------------------|---|
| 777 | 429 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Latvia     | MAX Lats 1,000                            | No                            | MAX 5 years                     | MAX 150 times the minimum monthly wage  |
| 778 | 456 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Lithuania  | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No                              | No  |
| 779 | 483 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Luxembourg | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No                              | No  |
| 780 | 510 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading,   | Malta      | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years                     | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |

|     |     |    |   |                 |             |                               |             |                              |
|-----|-----|----|---|-----------------|-------------|-------------------------------|-------------|------------------------------|
|     |     |    | freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)   |                 |             |                               |             |                              |
| 781 | 537 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | the Netherlands | MAX € 6,000 | Yes - Details in the Workbook | No          | No                           |
| 782 | 564 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Norway          | No          | No                            | MAX 1 year  | Fines - amount not available |
| 783 | 591 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Poland          | No          | Yes - Details in the Workbook | No          | No                           |
| 784 | 618 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading,   | Portugal        | No          | No                            | MAX 2 years | MIN 10 days MAX 240 days     |

|     |     |    |   |          |   |                               |    |    |
|-----|-----|----|---|----------|---|-------------------------------|----|----|
|     |     |    | freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)   |          |   |                               |    |    |
| 785 | 645 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital | Yes - Details in the Workbook | No | No |
| 786 | 672 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovakia | Fines - amount not available  | Yes - Details in the Workbook | No | No |
| 787 | 699 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovenia | No  | Yes - Details in the Workbook | No | No |

|     |     |    |   |         |   |                               |                               |                               |
|-----|-----|----|---|---------|---|-------------------------------|-------------------------------|-------------------------------|
| 788 | 726 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Spain   | No  | Yes - Details in the Workbook | MIN 6 months MAX 1 year       | No                            |
| 789 | 753 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Sweden  | No  | Yes - Details in the Workbook | No                            | No                            |
| 790 | 780 | 24 | Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | U.K.    | No  | Yes - Details in the Workbook | Yes - Details in the Workbook | Yes - Details in the Workbook |
| 791 |     |    |   |         | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice,suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                               |                               |
| 792 |     |    |   | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS            | CRIMINAL SANCTIONS            |

|     |     |    |  |                |   |                               | IMPRISONMENT | FINES AND OTHER MEASURES |
|-----|-----|----|--|----------------|---|-------------------------------|--------------|--------------------------|
| 793 | 25  | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Austria        | MAX € 30,000                                      | No                            | No           | No                       |
| 794 | 52  | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit | Yes - Details in the Workbook | No           | No                       |
| 795 | 79  | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | No  | Yes - Details in the Workbook | No           | No                       |
| 796 | 106 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Czech Republic | MAX € 700,000                                     | Yes - Details in the Workbook | No           | No                       |

|     |     |    |   |         |                |                               |    |                               |
|-----|-----|----|---|---------|----------------|-------------------------------|----|-------------------------------|
|     |     |    | with the temporary prohibition of professional activities)  |         |                |                               |    |                               |
| 797 | 133 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Cyprus  | No             | No                            | No | Yes - Details in the Workbook |
| 798 | 160 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark | No             | Yes - Details in the Workbook | No | No                            |
| 799 | 187 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Estonia | MAX EEK 50,000 | Yes - Details in the Workbook | No | No                            |
| 800 | 214 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Finland | No             | Yes - Details in the Workbook | No | No                            |

|     |     |    |  |         |              |                               |    |    |
|-----|-----|----|--|---------|--------------|-------------------------------|----|----|
|     |     |    | with the temporary prohibition of professional activities)   |         |              |                               |    |    |
| 801 | 241 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | France  | No           | Yes - Details in the Workbook | No | No |
| 802 | 268 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Germany | MAX € 50,000 | Yes - Details in the Workbook | No | No |
| 803 | 295 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Greece  | No           | Yes - Details in the Workbook | No | No |
| 804 | 322 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively  | Hungary | MAX € 40,000 | No                            | No | No |

|     |     |    |  |         |  |                               |                   |    |
|-----|-----|----|--|---------|--|-------------------------------|-------------------|----|
|     |     |    | with the temporary prohibition of professional activities)   |         |  |                               |                   |    |
| 805 | 349 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Iceland | MIN ISK 10,000 MAX ISK 2,000,000 (€ 118 - € 23,529) per day  | Yes - Details in the Workbook | No                | No |
| 806 | 376 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Ireland | No   | Yes - Details in the Workbook | No                | No |
| 807 | 403 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Italy   | MIN € 50,000 MAX € 1,000,000   | Yes - Details in the Workbook | MIN 1 MAX 8 years | No |
| 808 |     |    |  |         | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice,suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of |                               |                   |    |

|     |     |    |   |            | professional activities)                  |                               |                                 |   |
|-----|-----|----|---|------------|---|-------------------------------|---------------------------------|---|
| 809 |     |    |   | COUNTRY    | ADMINISTRATIVE PECUNIARY SANCTIONS        | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS IMPRISONMENT | CRIMINAL SANCTIONS FINES AND OTHER MEASURES   |
| 810 | 430 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Latvia     | MIN Lats 5 MAX Lats 1,000                 | No                            | No                              | No  |
| 811 | 457 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Lithuania  | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No                              | No  |
| 812 | 484 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Luxembourg | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No                              | No  |
| 813 | 511 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice,  | Malta      | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years                     | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |

|     |     |    |   |                 |             |                               |             |                          |
|-----|-----|----|---|-----------------|-------------|-------------------------------|-------------|--------------------------|
|     |     |    | suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |                 |             |                               |             |                          |
| 814 | 538 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | the Netherlands | MAX € 6,000 | Yes - Details in the Workbook | No          | No                       |
| 815 | 565 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Norway          | No          | No                            | No          | No                       |
| 816 | 592 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Poland          | No          | Yes - Details in the Workbook | No          | No                       |
| 817 | 619 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice,  | Portugal        | No          | No                            | MAX 2 years | MIN 10 days MAX 240 days |

|     |     |    |   |          |  |                               |    |    |
|-----|-----|----|---|----------|--|-------------------------------|----|----|
|     |     |    | suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |          |  |                               |    |    |
| 818 | 646 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital              | Yes - Details in the Workbook | No | No |
| 819 | 673 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovakia | MAX SKK 20,000,000 (€ 600,000)   | Yes - Details in the Workbook | No | No |
| 820 | 700 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovenia | No   | Yes - Details in the Workbook | No | No |
| 821 | 727 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice,  | Spain    | MAX 5 times the Profit (if not determinable: 5% of the offender's own funds or 5% of the total funds used or € 300,506.05) | Yes - Details in the Workbook | No | No |

|     |     |    |   |         |   |                               |                                    |  |
|-----|-----|----|---|---------|---|-------------------------------|------------------------------------|--|
|     |     |    | suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |         |   |                               |                                    |  |
| 822 | 754 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Sweden  | No  | Yes - Details in the Workbook | No                                 | No   |
| 823 | 781 | 25 | Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | U.K.    | No  | Yes - Details in the Workbook | No                                 | No   |
| 824 |     |    |   |         | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice,suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                                    |  |
| 825 |     |    |   | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |

|     |     |    |   |                |   |                               |    |                               |
|-----|-----|----|---|----------------|---|-------------------------------|----|-------------------------------|
| 826 | 26  | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Austria        | No  | Yes - Details in the Workbook | No | Yes - Details in the Workbook |
| 827 | 53  | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit | Yes - Details in the Workbook | No | No                            |
| 828 | 80  | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | No  | Yes - Details in the Workbook | No | No                            |
| 829 | 107 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the  | Czech Republic | No  | No                            | No | No                            |

|     |     |    |   |         |                |                               |    |                               |
|-----|-----|----|---|---------|----------------|-------------------------------|----|-------------------------------|
|     |     |    | assets respectively with the temporary prohibition of professional activities)  |         |                |                               |    |                               |
| 830 | 134 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Cyprus  | No             | No                            | No | Yes - Details in the Workbook |
| 831 | 161 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark | No             | Yes - Details in the Workbook | No | No                            |
| 832 | 188 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Estonia | MAX EEK 50,000 | Yes - Details in the Workbook | No | No                            |

|     |     |    |  |         |    |    |             |                                     |
|-----|-----|----|--|---------|----|----|-------------|-------------------------------------|
| 833 | 215 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Finland | No | No | No          | No                                  |
| 834 | 242 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | France  | No | No | MAX 2 years | MAX € 300,000                       |
| 835 | 269 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Germany | No | No | No          | freezing or sequestration of assets |

|     |     |    |   |         |   |                               |    |                               |
|-----|-----|----|---|---------|---|-------------------------------|----|-------------------------------|
| 836 | 296 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Greece  | No  | No                            | No | Yes - Details in the Workbook |
| 837 | 323 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Hungary | MAX € 40,000  | No                            | No | No                            |
| 838 | 350 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Iceland | MIN ISK 10,000 MAX ISK 2,000,000 (€ 118 - € 23,529) per day | Yes - Details in the Workbook | No | No                            |
| 839 | 377 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the  | Ireland | No  | Yes - Details in the Workbook | No | No                            |

|     |     |    |   |         |  |                               |                                    |  |
|-----|-----|----|---|---------|--|-------------------------------|------------------------------------|--|
|     |     |    | assets respectively with the temporary prohibition of professional activities)  |         |  |                               |                                    |  |
| 840 | 404 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Italy   | MIN € 50,000 MAX € 1,000,000   | Yes - Details in the Workbook | MIN 1 MAX 8 years                  | No   |
| 841 |     |    |   |         | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice,suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                                    |  |
| 842 |     |    |   | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 843 | 431 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Latvia  | MIN Lats 5 MAX Lats 1,000  | No                            | No                                 | No   |

|     |     |    |   |                 |   |                               |             |   |
|-----|-----|----|---|-----------------|---|-------------------------------|-------------|---|
| 844 | 458 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No          | No  |
| 845 | 485 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Luxembourg      | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No          | No  |
| 846 | 512 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Malta           | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 847 | 539 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the  | the Netherlands | MAX € 6,000                               | Yes - Details in the Workbook | No          | No  |

|     |     |    |   |          |   |                               |             |                               |
|-----|-----|----|---|----------|---|-------------------------------|-------------|-------------------------------|
|     |     |    | assets respectively with the temporary prohibition of professional activities)  |          |   |                               |             |                               |
| 848 | 566 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Norway   | No  | No                            | No          | No                            |
| 849 | 593 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Poland   | No  | No                            | MAX 3 years | MAX PLN 1,000,000 (€ 264,550) |
| 850 | 620 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Portugal | No  | No                            | MAX 2 years | MIN 10 days MAX 240 days      |
| 851 | 647 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h)  | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital | Yes - Details in the Workbook | No          | No                            |

|     |     |    |   |          |    |                               |    |                      |
|-----|-----|----|---|----------|----|-------------------------------|----|----------------------|
|     |     |    | refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |          |    |                               |    |                      |
| 852 | 674 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovakia | No | Yes - Details in the Workbook | No | No                   |
| 853 | 701 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovenia | No | Yes - Details in the Workbook | No | No                   |
| 854 | 728 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Spain    | No | Yes - Details in the Workbook | No | MIN 12 MAX 24 months |

|     |     |    |   |         |  |                               |                                    |  |
|-----|-----|----|---|---------|--|-------------------------------|------------------------------------|--|
| 855 | 755 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Sweden  | No   | No                            | No                                 | Yes - Details in the Workbook                  |
| 856 | 782 | 26 | Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | U.K.    | No   | Yes - Details in the Workbook | No                                 | Yes - Details in the Workbook                  |
| 857 |     |    |   |         | Art.14(3) and 12(2)(h) temporary prohibition of professional activity (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                                    |  |
| 858 |     |    |   | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS   | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 859 | 27  | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the   | Austria | MAX € 30,000   | Yes - Details in the Workbook | No                                 | No   |

|     |     |    |  |                |   |                               |              |                               |
|-----|-----|----|--|----------------|---|-------------------------------|--------------|-------------------------------|
|     |     |    | cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |                |   |                               |              |                               |
| 860 | 54  | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | MIN € 2,500 MAX € 2,500,000 or 3 times the Profit | Yes - Details in the Workbook | No           | No                            |
| 861 | 81  | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | No  | Yes - Details in the Workbook | No           | No                            |
| 862 | 108 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Czech Republic | MAX € 700,000                                     | Yes - Details in the Workbook | MAX 6 months | MAX € 180,000                 |
| 863 | 135 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of  | Cyprus         | No  | No                            | No           | Yes - Details in the Workbook |

|     |     |    |  |         |                |                               |    |    |
|-----|-----|----|--|---------|----------------|-------------------------------|----|----|
|     |     |    | professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)   |         |                |                               |    |    |
| 864 | 162 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark | No             | Yes - Details in the Workbook | No | No |
| 865 | 189 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Estonia | MAX EEK 50,000 | Yes - Details in the Workbook | No | No |
| 866 | 216 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary   | Finland | No             | Yes - Details in the Workbook | No | No |

|     |     |    |  |         |    |                               |             |  |
|-----|-----|----|--|---------|----|-------------------------------|-------------|--|
|     |     |    | prohibition of professional activities)  |         |    |                               |             |  |
| 867 | 243 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | France  | No | Yes - Details in the Workbook | MAX 2 years | MAX € 300,000  |
| 868 | 270 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Germany | No | No                            | No          | Prohibition of professional activity for 1 to 5 years (unlimited prohibition possible under special circumstances) |
| 869 | 297 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Greece  | No | Yes - Details in the Workbook | No          | No   |

|     |     |    |  |         |   |                               |    |    |
|-----|-----|----|--|---------|---|-------------------------------|----|----|
| 870 | 324 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Hungary | MAX € 40,000  | No                            | No | No |
| 871 | 351 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Iceland | MIN ISK 10,000 MAX ISK 2,000,000 (€ 118 - € 23,529) per day | Yes - Details in the Workbook | No | No |
| 872 | 378 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Ireland | No  | Yes - Details in the Workbook | No | No |

|     |     |    |  |         |   |                               |                                    |  |
|-----|-----|----|--|---------|---|-------------------------------|------------------------------------|--|
| 873 | 405 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Italy   | MIN € 50,000 MAX € 1,000,000  | Yes - Details in the Workbook | MIN 1 MAX 8 years                  | No   |
| 874 |     |    |  |         | Art.14(3) and 12(2)(h) temporary prohibition of professional activity (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) |                               |                                    |  |
| 875 |     |    |  | COUNTRY | ADMINISTRATIVE PECUNIARY SANCTIONS  | ADMINISTRATIVE MEASURES       | CRIMINAL SANCTIONS<br>IMPRISONMENT | CRIMINAL SANCTIONS<br>FINES AND OTHER MEASURES |
| 876 | 432 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Latvia  | MIN Lats 5 MAX Lats 1,000   | No                            | MAX 5 years                        | MAX 150 times the minimum monthly wage         |

|     |     |    |  |                 |   |                               |             |   |
|-----|-----|----|--|-----------------|---|-------------------------------|-------------|---|
| 877 | 459 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Lithuania       | Legal entities: MAX Lt 100,000 (€ 30,000) | Yes - Details in the Workbook | No          | No  |
| 878 | 486 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Luxembourg      | MIN € 125 MAX € 25,000                    | Yes - Details in the Workbook | No          | No  |
| 879 | 513 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Malta           | MAX Malta lire 40,000 (€ 93,200)          | Yes - Details in the Workbook | MAX 7 years | MIN Malta liri 1,000<br>MAX Malta liri 400,000<br>(€ 2,330 - € 932,000) or up to 3 times the Profit |
| 880 | 540 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration   | the Netherlands | No  | No                            | No          | No  |

|     |     |    |  |          |    |                               |             |                              |
|-----|-----|----|--|----------|----|-------------------------------|-------------|------------------------------|
|     |     |    | of the assets respectively with the temporary prohibition of professional activities)  |          |    |                               |             |                              |
| 881 | 567 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Norway   | No | No                            | MAX 1 year  | Fines - amount not available |
| 882 | 594 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Poland   | No | Yes - Details in the Workbook | No          | No                           |
| 883 | 621 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Portugal | No | No                            | MAX 2 years | MIN 10 days MAX 240 days     |

|     |     |    |  |          |   |                               |    |    |
|-----|-----|----|--|----------|---|-------------------------------|----|----|
| 884 | 648 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Romania  | MIN RON 500 MAX RON 50,000 (€ 150 - € 15,000)<br>Legal entities: MIN 0,5% MAX 5% of the paid-up share capital | Yes - Details in the Workbook | No | No |
| 885 | 675 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovakia | No  | Yes - Details in the Workbook | No | No |
| 886 | 702 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Slovenia | No  | Yes - Details in the Workbook | No | No |

|     |     |    |  |        |    |                               |                         |                               |
|-----|-----|----|--|--------|----|-------------------------------|-------------------------|-------------------------------|
| 887 | 729 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Spain  | No | Yes - Details in the Workbook | MIN 6 months MAX 1 year | No                            |
| 888 | 756 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Sweden | No | Yes - Details in the Workbook | No                      | Yes - Details in the Workbook |
| 889 | 783 | 27 | Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | U.K.   | No | Yes - Details in the Workbook | Yes                     | Max Fine Euro 7,500           |

|   |                     | Art 2. Primary Insiders - Insider Dealing                                    |   |   |
|---|---------------------|--|---|---|
| MAD ARTICLE                             | COUNTRY             | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art 2. Primary Insiders Insider Dealing | Austria             | Yes (CA ind.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Belgium             | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Bulgaria            | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art 2. Primary Insiders Insider Dealing | Czech Republic      | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Cyprus              | No   | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Denmark             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Estonia             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Finland             | Yes (CA dir.)  | Yes (JA)  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | France              | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Germany             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Greece              | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Hungary             | No   | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Iceland             | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Ireland             | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art 2. Primary Insiders Insider Dealing | Italy               | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Latvia              | Yes (CA dir.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Lithuania           | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Luxembourg          | Yes (CA dir.)  | No  | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | Malta               | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art 2. Primary Insiders Insider Dealing | the the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |

|   |                 |                         |                    |               |
|---|-----------------|-------------------------|--------------------|---------------|
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Norway</b>   | No                      | Yes (CA dir. - JA) | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Poland</b>   | No                      | No                 | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Portugal</b> | Yes (CA dir.)           | Yes (CA dir.)      | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Romania</b>  | Yes (CA dir. - JA - OA) | Yes (CA dir.)      | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Slovakia</b> | Yes (CA dir.)           | Yes (CA dir.)      | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Slovenia</b> | Yes (CA dir.)           | Yes (CA dir.)      | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Spain</b>    | Yes (CA dir. - OA)      | Yes (CA dir. - OA) | Yes (JA)      |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>Sweden</b>   | No                      | No                 | Yes (JA - OA) |
| Art 2.<br>Primary Insiders<br>Insider Dealing | <b>U.K.</b>     | Yes (CA dir. - JA)      | Yes (CA dir.)      | Yes (JA)      |

|   |                | Art.3 (a) Primary Insiders - Disclosure of Inside Information                |   |   |
|---|----------------|--|---|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Austria        | Yes (CA ind.)  | No  | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Belgium        | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Bulgaria       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Czech Republic | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Cyprus         | No   | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Denmark        | Yes (CA dir.)  | No  | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Estonia        | Yes (CA dir.)  | No  | No  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Finland        | Yes (CA dir.)  | Yes (JA)  | No  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | France         | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Germany        | Yes (CA dir.)  | No  | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Greece         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Hungary        | No   | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Iceland        | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Ireland        | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Italy          | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Latvia         | No   | No  | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Lithuania      | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.3 (a) Primary Insiders Disclosure of Inside Information | Luxembourg     | Yes (CA dir.)  | No  | Yes (JA)  |

|  |                            |                                |                           |                      |
|--|----------------------------|--------------------------------|---------------------------|----------------------|
| Information  |                            |                                |                           |                      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Malta</b>               | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>the the Netherlands</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Norway</b>              | <b>No</b>                      | <b>Yes (CA dir. - JA)</b> | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Poland</b>              | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Portugal</b>            | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Romania</b>             | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Slovakia</b>            | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Slovenia</b>            | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Spain</b>               | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>Yes (JA)</b>      |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>Sweden</b>              | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA - OA)</b> |
| Art.3 (a)<br>Primary Insiders<br>Disclosure of Inside<br>Information | <b>U.K.</b>                | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |

|  |                            | Art.3 (b) Primary Insiders<br>- "Tipping"   |  |   |
|--|----------------------------|---|--|---|
| MAD ARTICLE                                | COUNTRY                    | ADMINISTRATIVE<br>MEASURES<br>(AUTHORITY RESPONSIBLE<br>FOR<br>INFLECTING THE<br>SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY<br>RESPONSIBLE FOR<br>INFLECTING THE<br>SANCTIONS) |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Austria</b>             | Yes (CA ind.)   | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Belgium</b>             | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Bulgaria</b>            | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Czech Republic</b>      | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Cyprus</b>              | No  | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Denmark</b>             | Yes (CA dir.)   | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Estonia</b>             | Yes (CA dir.)   | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Finland</b>             | Yes (CA dir.)   | Yes (JA)   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>France</b>              | Yes (CA dir. - CA ind.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Germany</b>             | Yes (CA dir.)   | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Greece</b>              | Yes (CA dir. - CA ind.)   | Yes (CA dir. - CA ind.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Hungary</b>             | No  | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Iceland</b>             | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Ireland</b>             | Yes (CA dir. - CA ind.)   | Yes (CA dir. - CA indir.)  | Yes (CA - JA)   |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Italy</b>               | Yes (CA dir. - CA ind.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Latvia</b>              | No  | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Lithuania</b>           | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Luxembourg</b>          | Yes (CA dir.)   | No   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Malta</b>               | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>the the Netherlands</b> | Yes (CA dir.)   | Yes (CA dir.)  | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Norway</b>              | No  | Yes (CA dir. - JA)   | Yes (JA)  |
| Art.3 (b)<br>Primary Insiders              | <b>Poland</b>              | No  | No   | Yes (JA)  |

|   |                 |                                |                           |                      |
|---|-----------------|--------------------------------|---------------------------|----------------------|
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Portugal</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Romania</b>  | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Slovenia</b> | <b>No</b>                      | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>Yes (JA)</b>      |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>Sweden</b>   | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA - OA)</b> |
| "Tipping"<br>Art.3 (b)<br>Primary Insiders<br>"Tipping" | <b>U.K.</b>     | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |

|   |                     | Art. 4 [Art. 2] Secondary Insider<br>- (Insider Dealing)                           |  |   |
|---|---------------------|--|--|---|
| MAD ARTICLE   | COUNTRY             | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Austria             | Yes (CA ind.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Belgium             | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Bulgaria            | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Czech Republic      | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Cyprus              | No   | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Denmark             | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Estonia             | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Finland             | Yes (CA dir.)  | Yes (JA)   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | France              | Yes (CA dir. - CA ind.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Germany             | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Greece              | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Hungary             | No   | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Iceland             | Yes (CA dir.)  | No   | No  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Ireland             | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (CA - JA)   |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Italy               | Yes (CA dir. - CA ind.)  | Yes (CA dir.)  | No  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Latvia              | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Lithuania           | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Luxembourg          | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Malta               | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | the the Netherlands | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Norway              | No   | Yes (CA dir. - JA)   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Poland              | No   | No   | Yes (JA)  |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | Portugal            | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |

|   |                 |                                |                           |                      |
|---|-----------------|--------------------------------|---------------------------|----------------------|
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>Romania</b>  | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>Slovenia</b> | <b>No</b>                      | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>Sweden</b>   | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA - OA)</b> |
| Art. 4 [Art. 2]<br>Secondary Insider<br>(Insider Dealing) | <b>U.K.</b>     | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |

|   |                | Art. 4 [Art. 3(a)] Secondary Insider - (Disclosure of Inside Information)    |   |   |
|---|----------------|--|---|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Austria        | Yes (CA ind.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Belgium        | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Bulgaria       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Czech Republic | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Cyprus         | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Denmark        | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Estonia        | Yes (CA dir.)  | No  | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Finland        | Yes (CA dir.)  | Yes (JA)  | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | France         | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Germany        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Greece         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Hungary        | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Iceland        | Yes (CA dir.)  | No  | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Ireland        | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Italy          | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Latvia         | No   | No  | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider (Disclosure of Inside Information) | Lithuania      | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(a)] Secondary Insider                                    | Luxembourg     | Yes (CA dir.)  | No  | Yes (JA)  |

|   |                            |                                |                           |                      |
|---|----------------------------|--------------------------------|---------------------------|----------------------|
| (Disclosure of Inside Information)  |                            |                                |                           |                      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Malta</b>               | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>the the Netherlands</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Norway</b>              | <b>No</b>                      | <b>Yes (CA dir. - JA)</b> | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Poland</b>              | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Portugal</b>            | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Romania</b>             | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Slovakia</b>            | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Slovenia</b>            | <b>No</b>                      | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Spain</b>               | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>Sweden</b>              | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA - OA)</b> |
| Art. 4 [Art. 3(a)]<br>Secondary Insider<br>(Disclosure of Inside Information) | <b>U.K.</b>                | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |

|  |                     | Art. 4 [Art. 3(b)] Secondary Insider - ("Tipping")                           |   |   |
|--|---------------------|--|---|---|
| MAD ARTICLE                                      | COUNTRY             | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Austria             | Yes (CA ind.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Belgium             | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Bulgaria            | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Czech Republic      | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Cyprus              | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Denmark             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Estonia             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Finland             | Yes (CA dir.)  | Yes (JA)  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | France              | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Germany             | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Greece              | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Hungary             | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Iceland             | Yes (CA dir.)  | No  | No  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Ireland             | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Italy               | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | No  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Latvia              | No   | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Lithuania           | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Luxembourg          | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Malta               | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | the the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Norway              | No   | Yes (CA dir. - JA)  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Poland              | No   | No  | Yes (JA)  |
| Art. 4 [Art. 3(b)] Secondary Insider ("Tipping") | Portugal            | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |

|  |                 |                                |                           |                      |
|--|-----------------|--------------------------------|---------------------------|----------------------|
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>Romania</b>  | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>Slovenia</b> | <b>No</b>                      | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>Sweden</b>   | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA - OA)</b> |
| Art. 4 [Art. 3(b)]<br>Secondary Insider<br>("Tipping") | <b>U.K.</b>     | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |

| MAD ARTICLE                   | COUNTRY             | Art. 5 - Market Manipulation   |  |   |
|-------------------------------|---------------------|--|--|---|
|                               |                     | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art. 5<br>market manipulation | Austria             | Yes (CA dir. - CA ind.)  | Yes (CA dir.)  | No  |
| Art. 5<br>Market Manipulation | Belgium             | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Bulgaria            | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art. 5<br>Market Manipulation | Czech Republic      | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Cyprus              | No   | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Denmark             | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 5<br>Market Manipulation | Estonia             | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Finland             | Yes (CA dir.)  | Yes (JA)   | Yes (JA)  |
| Art. 5<br>Market Manipulation | France              | Yes (CA dir. - CA ind.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Germany             | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Greece              | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Hungary             | No   | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Iceland             | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Ireland             | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (CA - JA)   |
| Art. 5<br>Market Manipulation | Italy               | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Latvia              | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 5<br>Market Manipulation | Lithuania           | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Luxembourg          | Yes (CA dir.)  | No   | Yes (JA)  |
| Art. 5<br>Market Manipulation | Malta               | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | the the Netherlands | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Norway              | No   | Yes (CA dir. - JA)   | Yes (JA)  |
| Art. 5<br>Market Manipulation | Poland              | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Portugal            | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Romania             | Yes (CA dir. - JA - OA)  | Yes (CA dir.)  | Yes (JA)  |
| Art. 5<br>Market Manipulation | Slovakia            | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art. 5<br>Market Manipulation | Slovenia            | No   | Yes (CA dir.)  | No  |
| Art. 5<br>Market Manipulation | Spain               | Yes (CA dir. - OA)   | Yes (CA dir. - OA)   | Yes (JA)  |
| Art. 5<br>Market Manipulation | Sweden              | No   | No   | Yes (JA - OA)   |
| Art. 5<br>Market Manipulation | U.K.                | Yes (CA dir. - JA)   | Yes (CA dir.)  | Yes (JA)  |

|   |                     | Art.6(1) - Publication of Inside Information                                 |   |   |
|---|---------------------|--|---|---|
| MAD ARTICLE                                   | COUNTRY             | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art.6(1)<br>Publication of Inside Information | Austria             | No   | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Belgium             | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Bulgaria            | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Czech Republic      | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Cyprus              | No   | Yes (CA dir.)   | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Denmark             | Yes (CA dir.)  | No  | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Estonia             | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Finland             | Yes (CA dir.)  | Yes (JA)  | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | France              | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Germany             | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Greece              | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Hungary             | No   | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Iceland             | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Ireland             | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art.6(1)<br>Publication of Inside Information | Italy               | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Latvia              | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Lithuania           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Luxembourg          | No   | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Malta               | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | the the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Norway              | No   | Yes (OA)  | Yes (JA)  |
| Art.6(1)<br>Publication of Inside Information | Poland              | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Portugal            | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(1)<br>Publication of Inside Information | Romania             | Yes (CA dir. - OA)   | Yes (CA dir.)   | No  |

|   |                 |                                |                                  |           |
|---|-----------------|--------------------------------|----------------------------------|-----------|
| Information<br>Art.6(1)<br>Publication of Inside<br>Information | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b> |
| Art.6(1)<br>Publication of Inside<br>Information                | <b>Slovenia</b> | <b>No</b>                      | <b>Yes (CA dir.)</b>             | <b>No</b> |
| Art.6(1)<br>Publication of Inside<br>Information                | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b>        | <b>No</b> |
| Art.6(1)<br>Publication of Inside<br>Information                | <b>Sweden</b>   | <b>Yes (CA dir. - CA ind.)</b> | <b>Yes (CA dir. - CA indir.)</b> | <b>No</b> |
| Art.6(1)<br>Publication of Inside<br>Information                | <b>U.K.</b>     | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b> |

|  |                 | Art. 6(2) - Information of Delay of Publication.                             |   |   |
|--|-----------------|--|---|---|
| MAD ARTICLE                                    | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(2) Information of Delay of Publication. | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Bulgaria        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Cyprus          | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(2) Information of Delay of Publication. | Denmark         | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Estonia         | No   | No  | No  |
| Art. 6(2) Information of Delay of Publication. | Finland         | Yes (CA dir.)  | Yes (JA)  | Yes (JA)  |
| Art. 6(2) Information of Delay of Publication. | France          | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Germany         | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Iceland         | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Ireland         | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(2) Information of Delay of Publication. | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Luxembourg      | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | the Netherlands | Not applicable   | Not applicable  | Not applicable  |
| Art. 6(2) Information of Delay of Publication. | Norway          | No   | Yes (OA)  | Yes (JA)  |
| Art. 6(2) Information of Delay of Publication. | Poland          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(2) Information of Delay of Publication. | Portugal        | Not applicable   | Not applicable  | Not applicable  |

|  |                 |                           |                           |                       |
|--|-----------------|---------------------------|---------------------------|-----------------------|
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>Romania</b>  | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>No</b>             |
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>Slovakia</b> | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>No</b>             |
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>Slovenia</b> | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>No</b>             |
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b> | <b>Yes (CA dir. - OA)</b> | <b>No</b>             |
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>Sweden</b>   | <b>Not applicable</b>     | <b>Not applicable</b>     | <b>Not applicable</b> |
| Art. 6(2)<br>Information of Delay of<br>Publication. | <b>U.K.</b>     | <b>Not applicable</b>     | <b>Not applicable</b>     | <b>Not applicable</b> |

|  |                 | Art. 6(3) - Disclosure of Inside Information to Third Party                  |   |   |
|--|-----------------|--|---|---|
| MAD ARTICLE  | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Bulgaria        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Cyprus          | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Estonia         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Finland         | Yes (CA dir.)  | Yes (JA)  | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | France          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Germany         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Latvia          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Norway          | No   | Yes (OA)  | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Poland          | No   | No  | Yes (JA)  |
| Art. 6(3)<br>Disclosure of Inside Information to Third Party | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Disclosure of Inside                            | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|   |                 |                      |                                  |                      |
|---|-----------------|----------------------|----------------------------------|----------------------|
| Information to Third Party<br>Art. 6(3)<br>Disclosure of Inside<br>Information to Third Party | <b>Slovakia</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b>             | <b>Yes (CA - JA)</b> |
| Art. 6(3)<br>Disclosure of Inside<br>Information to Third Party                               | <b>Slovenia</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art. 6(3)<br>Disclosure of Inside<br>Information to Third Party                               | <b>Spain</b>    | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art. 6(3)<br>Disclosure of Inside<br>Information to Third Party                               | <b>Sweden</b>   | <b>Yes (CA ind.)</b> | <b>Yes (CA dir. - CA indir.)</b> | <b>No</b>            |
| Art. 6(3)<br>Disclosure of Inside<br>Information to Third Party                               | <b>U.K.</b>     | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b>             | <b>No</b>            |

|                                |                 | Art. 6(3) - Lists of Insiders  |   |   |
|--------------------------------|-----------------|--|---|---|
| MAD ARTICLE                    | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(3)<br>Lists of Insiders | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Bulgaria        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Cyprus          | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 6(3)<br>Lists of Insiders | Estonia         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Finland         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | France          | Yes (CA dir. - CA indr.)   | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Lists of Insiders | Germany         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Lists of Insiders | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(3)<br>Lists of Insiders | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(3)<br>Lists of Insiders | Norway          | No   | No  | Yes (JA)  |
| Art. 6(3)<br>Lists of Insiders | Poland          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Slovakia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Slovenia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Spain           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | Sweden          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(3)<br>Lists of Insiders | U.K.            | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|                                   |                 | Art. 6(4) - Manager Transactions   |   |   |
|-----------------------------------|-----------------|--|---|---|
| MAD ARTICLE                       | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(4)<br>Manager Transactions | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Bulgaria        | No   | No  | No  |
| Art. 6(4)<br>Manager Transactions | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(4)<br>Manager Transactions | Cyprus          | No   | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 6(4)<br>Manager Transactions | Estonia         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Finland         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | France          | Yes (CA dir. - CA indir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Germany         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art. 6(4)<br>Manager Transactions | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(4)<br>Manager Transactions | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(4)<br>Manager Transactions | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(4)<br>Manager Transactions | Norway          | No   | No  | Yes (JA)  |
| Art. 6(4)<br>Manager Transactions | Poland          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Slovakia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Slovenia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Spain           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | Sweden          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(4)<br>Manager Transactions | U.K.            | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|   |                        | Art.6(4) - Publication of Manager Transactions                               |   |   |
|---|------------------------|--|---|---|
| MAD ARTICLE                                     | COUNTRY                | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art.6(4)<br>Publication of Manager Transactions | <b>Austria</b>         | No   | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Belgium</b>         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Bulgaria</b>        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Czech Republic</b>  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Cyprus</b>          | No   | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Denmark</b>         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Estonia</b>         | No   | No  | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Finland</b>         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>France</b>          | No   | No  | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Germany</b>         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Greece</b>          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Hungary</b>         | No   | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Iceland</b>         | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Ireland</b>         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art.6(4)<br>Publication of Manager Transactions | <b>Italy</b>           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Latvia</b>          | No   | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Lithuania</b>       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Luxembourg</b>      | No   | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Malta</b>           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>the Netherlands</b> | No   | No  | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Norway</b>          | No   | No  | Yes (JA)  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Poland</b>          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Portugal</b>        | No   | No  | No  |
| Art.6(4)<br>Publication of Manager Transactions | <b>Romania</b>         | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|  |                 |                      |                      |           |
|--|-----------------|----------------------|----------------------|-----------|
| Transactions<br>Art.6(4)<br>Publication of Manager<br>Transactions | <b>Slovakia</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b> |
| Art.6(4)<br>Publication of Manager<br>Transactions                 | <b>Slovenia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b> |
| Art.6(4)<br>Publication of Manager<br>Transactions                 | <b>Spain</b>    | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b> |
| Art.6(4)<br>Publication of Manager<br>Transactions                 | <b>Sweden</b>   | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b> |
| Art.6(4)<br>Publication of Manager<br>Transactions                 | <b>U.K.</b>     | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b> |

|                                     |                 | Art. 6(5) - Dissemination of Research  |   |   |
|-------------------------------------|-----------------|--|---|---|
| MAD ARTICLE                         | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(5) Dissemination of Research | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Bulgaria        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(5) Dissemination of Research | Cyprus          | No   | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 6(5) Dissemination of Research | Estonia         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Finland         | Yes (CA dir.)  | No  | No  |
| Art. 6(5) Dissemination of Research | France          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Germany         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA ind.)   | No  |
| Art. 6(5) Dissemination of Research | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(5) Dissemination of Research | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(5) Dissemination of Research | Norway          | No   | No  | Yes (JA)  |
| Art. 6(5) Dissemination of Research | Poland          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Slovakia        | Yes (CA dir.)  | No  | No  |
| Art. 6(5) Dissemination of Research | Slovenia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(5) Dissemination of Research | Spain           | Yes (CA dir. - OA)   | Yes (CA dir. - OA)  | No  |
| Art. 6(5) Dissemination of Research | Sweden          | Yes (CA dir.)  | Yes (OA)  | No  |
| Art. 6(5) Dissemination of Research | U.K.            | Yes (CA dir. - OA)   | Yes (CA dir.)   | No  |

|   |                | Art. 6(6) - Market Opeartors<br>-Adoption of Structural<br>Provisions                       |  |   |
|---|----------------|---|--|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE<br>MEASURES<br>(AUTHORITY RESPONSIBLE<br>FOR<br>INFLECTING THE<br>SANCTIONS) | ADMINISTRATIVE<br>PECUNIARY SANCTIONS<br>(AUTHORITY RESPONSIBLE<br>FOR<br>INFLECTING THE<br>SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Austria        | No  | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Belgium        | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Bulgaria       | No  | No   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Czech Republic | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Cyprus         | No  | No   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Denmark        | Yes (CA dir.)   | No   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Estonia        | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Finland        | Yes (CA dir.)   | No   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | France         | Yes (CA dir. - OA)  | No   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Germany        | Yes (OA)  | Yes (OA)   | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Greece         | Yes (CA dir. - CA ind.)   | Yes (CA dir. - CA ind.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Hungary        | No  | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Iceland        | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Ireland        | Yes (CA dir. - CA ind.)   | Yes (CA dir. - CA indir.)  | Yes (CA - JA)   |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Italy          | Yes (CA dir.)   | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Latvia         | No  | Yes (CA dir.)  | No  |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | Lithuania      | Yes (CA dir.)   | Yes (CA dir.)  | No  |

|   |                        |                                |                      |                 |
|---|------------------------|--------------------------------|----------------------|-----------------|
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Luxembourg</b>      | <b>No</b>                      | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Malta</b>           | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>the Netherlands</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b> |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Norway</b>          | <b>No</b>                      | <b>No</b>            | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Poland</b>          | <b>Yes (CA dir.)</b>           | <b>No</b>            | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Portugal</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Romania</b>         | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Slovakia</b>        | <b>Yes (CA dir.)</b>           | <b>No</b>            | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Slovenia</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Spain</b>           | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>Sweden</b>          | <b>Yes (CA dir.)</b>           | <b>No</b>            | <b>No</b>       |
| Art. 6(6)<br>Market Opeartors<br>Adoption of Structural<br>Provisions | <b>U.K.</b>            | <b>Yes (CA dir. - CA ind.)</b> | <b>No</b>            | <b>No</b>       |

|   |                 | Art. 6(7) - Informing the Public Correctly                                   |   |   |
|---|-----------------|--|---|---|
| MAD ARTICLE                                 | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(7)<br>Informing the Public Correctly | Austria         | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Bulgaria        | No   | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Cyprus          | No   | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(7)<br>Informing the Public Correctly | Denmark         | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Estonia         | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Finland         | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | France          | Yes (CA dir. - CA ind.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Germany         | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(7)<br>Informing the Public Correctly | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Lithuania       | Yes (CA dir.)  | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)<br>Informing the Public Correctly | the Netherlands | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(7)<br>Informing the Public Correctly | Norway          | No   | No  | No  |
| Art. 6(7)<br>Informing the Public Correctly | Poland          | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(7)                                   | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|   |                 |                           |                           |                 |
|---|-----------------|---------------------------|---------------------------|-----------------|
| Informing the Public Correctly<br>Art. 6(7) |                 |                           |                           |                 |
| Informing the Public Correctly<br>Art. 6(7) | <b>Romania</b>  | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>No</b>       |
| Informing the Public Correctly<br>Art. 6(7) | <b>Slovakia</b> | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>No</b>       |
| Informing the Public Correctly<br>Art. 6(7) | <b>Slovenia</b> | <b>Yes (CA dir.)</b>      | <b>No</b>                 | <b>No</b>       |
| Informing the Public Correctly<br>Art. 6(7) | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b> | <b>Yes (CA dir. - OA)</b> | <b>No</b>       |
| Informing the Public Correctly<br>Art. 6(7) | <b>Sweden</b>   | <b>No</b>                 | <b>No</b>                 | <b>No</b>       |
| Informing the Public Correctly<br>Art. 6(7) | <b>U.K.</b>     | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b> |

|   |                 | Art. 6(8) - Dissemination of Statistics by Public Institutions               |   |   |
|---|-----------------|--|---|---|
| MAD ARTICLE   | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Austria         | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Bulgaria        | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Czech Republic  | Yes (CA dir.)  | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Cyprus          | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Denmark         | Yes (CA dir.)  | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Estonia         | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Finland         | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | France          | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Germany         | Yes (CA dir.)  | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Hungary         | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Iceland         | Yes (CA dir.)  | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Ireland         | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Latvia          | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Lithuania       | Yes (CA dir. - JA)   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Luxembourg      | No   | Yes (CA dir.)   | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | the Netherlands | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Norway          | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Poland          | No   | No  | No  |
| Art. 6(8)<br>Dissemination of Statistics by Public Institutions | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(8)   | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|  |                 |                      |                      |                      |
|--|-----------------|----------------------|----------------------|----------------------|
| Dissemination of Statistics<br>by Public Institutions              |                 |                      |                      |                      |
| Art. 6(8)<br>Dissemination of Statistics<br>by Public Institutions | <b>Slovakia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>            |
| Art. 6(8)<br>Dissemination of Statistics<br>by Public Institutions | <b>Slovenia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>            |
| Art. 6(8)<br>Dissemination of Statistics<br>by Public Institutions | <b>Spain</b>    | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art. 6(8)<br>Dissemination of Statistics<br>by Public Institutions | <b>Sweden</b>   | <b>No</b>            | <b>No</b>            | <b>Yes (JA - OA)</b> |

|  |                 | Art. 6(9) - Notification of Suspicious Transactions                          |   |   |
|--|-----------------|--|---|---|
| MAD ARTICLE  | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 6(9)<br>Notification of Suspicious Transactions | Austria         | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Belgium         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Bulgaria        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Cyprus          | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Estonia         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Finland         | Yes (CA dir.)  | No  | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | France          | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Germany         | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Greece          | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Hungary         | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Iceland         | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Ireland         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)   | Yes (CA - JA)   |
| Art. 6(9)<br>Notification of Suspicious Transactions | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Latvia          | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Lithuania       | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Luxembourg      | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Malta           | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | the Netherlands | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Norway          | No   | No  | Yes (JA)  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Poland          | No   | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of Suspicious Transactions | Portugal        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 6(9)<br>Notification of                         | Romania         | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|  |                 |                      |                      |                      |
|--|-----------------|----------------------|----------------------|----------------------|
| Suspicious Transactions<br>Art. 6(9)<br>Notification of<br>Suspicious Transactions | <b>Slovakia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>            |
| Art. 6(9)<br>Notification of<br>Suspicious Transactions                            | <b>Slovenia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>            |
| Art. 6(9)<br>Notification of<br>Suspicious Transactions                            | <b>Spain</b>    | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art. 6(9)<br>Notification of<br>Suspicious Transactions                            | <b>Sweden</b>   | <b>No</b>            | <b>No</b>            | <b>Yes (JA - OA)</b> |
| Art. 6(9)<br>Notification of<br>Suspicious Transactions                            | <b>U.K.</b>     | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |

|   |                 | Art. 13 - Breach of Professional Secrecy                                     |   |   |
|---|-----------------|--|---|---|
| MAD ARTICLE                               | COUNTRY         | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 13<br>Breach of Professional Secrecy | Austria         | No   | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Belgium         | No   | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | Bulgaria        | Yes (CA dir.)  | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | Czech Republic  | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 13<br>Breach of Professional Secrecy | Cyprus          | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Denmark         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Estonia         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Finland         | Yes (CA dir.)  | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | France          | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Germany         | Yes (CA dir.)  | Yes (JA)  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Greece          | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Hungary         | No   | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | Iceland         | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Ireland         | No   | No  | Yes (CA - JA)   |
| Art. 13<br>Breach of Professional Secrecy | Italy           | Yes (CA dir.)  | Yes (CA dir.)   | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Latvia          | No   | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Lithuania       | Yes (CA dir. - OA)   | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | Luxembourg      | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 13<br>Breach of Professional Secrecy | Malta           | Yes (CA dir.)  | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | the Netherlands | Yes (CA dir.)  | No  | No  |
| Art. 13<br>Breach of Professional Secrecy | Norway          | No   | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Poland          | No   | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional Secrecy | Portugal        | No   | No  | Yes (JA)  |
| Art. 13<br>Breach of Professional         | Romania         | Yes (CA dir.)  | Yes (OA)  | Yes (JA)  |

|  |                 |                      |                      |                 |
|--|-----------------|----------------------|----------------------|-----------------|
| Art. 13<br>Breach of Professional<br>Secrecy | <b>Slovakia</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art. 13<br>Breach of Professional<br>Secrecy | <b>Slovenia</b> | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>       |
| Art. 13<br>Breach of Professional<br>Secrecy | <b>Spain</b>    | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>Yes (JA)</b> |
| Art. 13<br>Breach of Professional<br>Secrecy | <b>Sweden</b>   | <b>No</b>            | <b>No</b>            | <b>Yes (OA)</b> |
| Art. 13<br>Breach of Professional<br>Secrecy | <b>U.K.</b>     | <b>No</b>            | <b>No</b>            | <b>Yes (JA)</b> |

|   |                | Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents |   |   |
|---|----------------|---|---|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS)          | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Austria        | Yes (CA ind.)   | Yes (CA ind.)   | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Belgium        | Yes (CA dir.)   | Yes (CA dir.)   | Yes (JA)  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Bulgaria       | Yes (CA dir.)   | No  | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Czech Republic | Yes (CA dir.)   | Yes (CA dir.)   | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Cyprus         | No  | Yes (CA dir.)   | Yes (JA)  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Denmark        | Yes (CA dir.)   | No  | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Estonia        | Yes (CA dir.)   | Yes (CA dir.)   | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | Finland        | Yes (CA dir.)   | No  | No  |
| Art. 14(3) Failure to co-operate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation                               | France         | Yes (CA dir.)   | No  | Yes (JA)  |

|   |                   |                                |                                  |                      |
|---|-------------------|--------------------------------|----------------------------------|----------------------|
| with the competent authority)   |                   |                                |                                  |                      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Germany</b>    | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Greece</b>     | <b>Yes (CA dir. - CA ind.)</b> | <b>Yes (CA dir. - CA indir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Hungary</b>    | <b>No</b>                      | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Iceland</b>    | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Ireland</b>    | <b>Yes (CA ind. - JA)</b>      | <b>No</b>                        | <b>Yes (CA - JA)</b> |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Italy</b>      | <b>Yes (CA dir. - CA ind.)</b> | <b>Yes (CA dir.)</b>             | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Latvia</b>     | <b>No</b>                      | <b>No</b>                        | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Lithuania</b>  | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Luxembourg</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Malta</b>      | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>             | <b>Yes (JA)</b>      |

|  |                        |                                |                           |                      |
|--|------------------------|--------------------------------|---------------------------|----------------------|
| 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)  |                        |                                |                           |                      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>the Netherlands</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Norway</b>          | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Poland</b>          | <b>No</b>                      | <b>No</b>                 | <b>Yes (JA)</b>      |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Portugal</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Romania</b>         | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovakia</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovenia</b>        | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Spain</b>           | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art. 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Sweden</b>          | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) Failure to cooperate in investigation. Art.  | <b>U.K.</b>            | <b>Yes (CA dir. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (CA - JA)</b> |

|  |  |  |  |  |
|--|--|--|--|--|
| 12(2) (a) access to documents. (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) |  |  |  |  |
|--|--|--|--|--|

|   |                | Art.14(3) and Art. 12(2) (b)<br>demand information                                 |  |   |
|---|----------------|--|--|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Austria        | Yes (CA ind.)  | Yes (CA ind.)  | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Belgium        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Bulgaria       | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Czech Republic | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Cyprus         | No   | Yes (CA dir.)  | Yes (JA)  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Denmark        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Estonia        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Finland        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | France         | Yes (CA dir.)  | No   | Yes (JA)  |
| Art.14(3) and 12(2) (b)<br>demand information<br>(Art 14 (3) and 12 (2)<br>(a)(b)(c )(d) refer to the<br>failure of cooperation<br>with the competent<br>authority) | Germany        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2) (b)<br>demand information   | Greece         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (JA)  |

|  |                        |                           |                      |                      |
|--|------------------------|---------------------------|----------------------|----------------------|
| (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)  |                        |                           |                      |                      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Hungary</b>         | <b>No</b>                 | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Iceland</b>         | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Ireland</b>         | <b>Yes (CA ind. - JA)</b> | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Italy</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Latvia</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Lithuania</b>       | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Luxembourg</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Malta</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>the Netherlands</b> | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Norway</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Poland</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |

|  |                 |                                |                           |                      |
|--|-----------------|--------------------------------|---------------------------|----------------------|
| (a)(b)(c)(d) refer to the failure of cooperation with the competent authority)   |                 |                                |                           |                      |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Portugal</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Romania</b>  | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovenia</b> | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Sweden</b>   | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2) (b) demand information (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>U.K.</b>     | <b>Yes (CA dir. -JA)</b>       | <b>Yes (CA dir.)</b>      | <b>Yes (CA - JA)</b> |

|  |                       | Art. 14(3) and Art. 12(2)(c)<br>on-site inspections                                |  |   |
|--|-----------------------|--|--|---|
| MAD ARTICLE  | COUNTRY               | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Austria</b>        | Yes (CA ind.)  | Yes (CA ind.)  | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Belgium</b>        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Bulgaria</b>       | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Czech Republic</b> | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Cyprus</b>         | No   | Yes (CA dir.)  | Yes (JA)  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Denmark</b>        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Estonia</b>        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Finland</b>        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>France</b>         | Yes (CA dir.)  | No   | Yes (JA)  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Germany</b>        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Greece</b>         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (JA)  |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Hungary</b>        | No   | Yes (CA dir.)  | No  |

|  |                        |                                |                      |                      |
|--|------------------------|--------------------------------|----------------------|----------------------|
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Iceland</b>         | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Ireland</b>         | <b>Yes (CA ind. - JA)</b>      | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Italy</b>           | <b>Yes (CA dir. - CA ind.)</b> | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Latvia</b>          | <b>No</b>                      | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Lithuania</b>       | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Luxembourg</b>      | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Malta</b>           | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>the Netherlands</b> | <b>No</b>                      | <b>No</b>            | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Norway</b>          | <b>No</b>                      | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Poland</b>          | <b>No</b>                      | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Portugal</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Romania</b>         | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovakia</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |

|  |                 |                                |                           |                      |
|--|-----------------|--------------------------------|---------------------------|----------------------|
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Slovenia</b> | <b>Yes (CA dir. - JA - OA)</b> | <b>Yes (CA dir.)</b>      | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>Sweden</b>   | <b>Yes (CA dir.)</b>           | <b>No</b>                 | <b>No</b>            |
| Art.14(3) and 12(2)(c) on-site inspections (Art 14 (3) and 12 (2) (a)(b)(c)(d) refer to the failure of cooperation with the competent authority) | <b>U.K.</b>     | <b>Yes (CA ind. - JA)</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (CA - JA)</b> |

|   |                | Art.14(3) and Art. 12(2)(d)<br>telephone and data traffic<br>records               |  |   |
|---|----------------|--|--|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Austria        | Yes (CA ind.)  | No   | Yes (JA)  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Belgium        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Bulgaria       | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Czech Republic | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Cyprus         | No   | Yes (CA dir.)  | Yes (JA)  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Denmark        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Estonia        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Finland        | No   | No   | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | France         | Yes (CA dir.)  | No   | Yes (JA)  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Germany        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | Greece         | Yes (CA dir. - CA ind.)  | Yes (CA dir. - CA indir.)  | Yes (JA)  |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with                             | Hungary        | No   | Yes (CA dir.)  | No  |

|  |                        |                           |                      |                      |
|--|------------------------|---------------------------|----------------------|----------------------|
| the competent authority)<br>Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority) | <b>Iceland</b>         | <b>Yes (CA dir. - JA)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Ireland</b>         | <b>Yes (CA ind. - JA)</b> | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Italy</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Latvia</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Lithuania</b>       | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Luxembourg</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Malta</b>           | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>the Netherlands</b> | <b>No</b>                 | <b>No</b>            | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Norway</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Poland</b>          | <b>No</b>                 | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Portugal</b>        | <b>No</b>                 | <b>No</b>            | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Romania</b>         | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(d) telephone and data traffic records (Art 14 (3) and 12 (2) (a)(b)(c )(d) refer to the failure of cooperation with the competent authority)                             | <b>Slovakia</b>        | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |

|   |                 |                                |                      |                          |
|---|-----------------|--------------------------------|----------------------|--------------------------|
| the competent authority)<br>Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority) | <b>Slovenia</b> | <b>Yes (CA dir. - JA - OA)</b> | <b>No</b>            | <b>No</b>                |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority)                             | <b>Spain</b>    | <b>No</b>                      | <b>No</b>            | <b>No</b>                |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority)                             | <b>Sweden</b>   | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>                |
| Art.14(3) and 12(2)(d)<br>telephone and data traffic<br>records (Art 14 (3) and 12<br>(2) (a)(b)(c )(d) refer to the<br>failure of cooperation with<br>the competent authority)                             | <b>U.K.</b>     | <b>Yes (CA ind. - JA)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.- JA)</b> |

|   |                       | Art.14(3) and Art. 12(2) (e)<br>cessation of practice                              |  |   |
|---|-----------------------|--|--|---|
| MAD ARTICLE   | COUNTRY               | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE<br>PECUNIARY SANCTIONS<br>(AUTHORITY RESPONSIBLE<br>FOR<br>INFLECTING THE<br>SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Austria</b>        | Yes (CA dir.)  | Not available  | Yes (JA)  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Belgium</b>        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Bulgaria</b>       | Yes (CA dir.)  | No   | No  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Czech Republic</b> | Yes (CA dir.)  | Yes (CA dir.)  | Yes (JA)  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Cyprus</b>         | No   | No   | Yes (JA)  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Denmark</b>        | Yes (CA dir.)  | No   | No  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Estonia</b>        | Yes (CA dir.)  | Yes (CA dir.)  | No  |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary   | <b>Finland</b>        | Yes (CA dir.)  | No   | No  |

|   |                  |                      |                      |                      |
|---|------------------|----------------------|----------------------|----------------------|
| prohibition of professional activities)   |                  |                      |                      |                      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>France</b>    | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Germany</b>   | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Greece</b>    | <b>Yes (CA dir.)</b> | <b>No</b>            | <b>No</b>            |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Hungary</b>   | <b>No</b>            | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Iceland</b>   | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Ireland</b>   | <b>Yes (CA ind.)</b> | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Italy</b>     | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Latvia</b>    | <b>No</b>            | <b>Yes (JA)</b>      | <b>Yes (JA)</b>      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing  | <b>Lithuania</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |

|  |                        |                                |                      |                 |
|--|------------------------|--------------------------------|----------------------|-----------------|
| /sequestration of the assets respectively with the temporary prohibition of professional activities)   |                        |                                |                      |                 |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Luxembourg</b>      | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Malta</b>           | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b> |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>the Netherlands</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Norway</b>          | <b>No</b>                      | <b>No</b>            | <b>Yes (JA)</b> |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Poland</b>          | <b>Yes (CA dir.)</b>           | <b>No</b>            | <b>No</b>       |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Portugal</b>        | <b>No</b>                      | <b>No</b>            | <b>Yes (JA)</b> |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Romania</b>         | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Slovakia</b>        | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance  | <b>Slovenia</b>        | <b>Yes (CA dir. - JA - OA)</b> | <b>No</b>            | <b>No</b>       |

|   |               |                           |                      |                      |
|---|---------------|---------------------------|----------------------|----------------------|
| with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)  |               |                           |                      |                      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Spain</b>  | <b>Yes (JA)</b>           | <b>No</b>            | <b>Yes (JA)</b>      |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Sweden</b> | <b>Yes (CA ind.)</b>      | <b>No</b>            | <b>No</b>            |
| Art.14(3) and12(2) (e) cessation of practice (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>U.K.</b>   | <b>Yes (CA dir. - JA)</b> | <b>Yes (CA - JA)</b> | <b>Yes (CA - JA)</b> |

|   |                | Art. 14(3) and Art. 12 (2)(f)<br>suspension trading                          |   |   |
|---|----------------|--|---|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Austria        | No   | Yes (CA ind.)   | No  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | Yes (CA dir.)  | No  | No  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Czech Republic | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Cyprus         | No   | No  | Yes (JA)  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark        | Yes (CA dir.)  | No  | No  |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Estonia        | Yes (CA dir.)  | Yes (CA dir.)   | No  |

|   |                |                                |                      |                      |
|---|----------------|--------------------------------|----------------------|----------------------|
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Finland</b> | <b>Yes (CA dir.)</b>           | <b>No</b>            | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>France</b>  | <b>Yes (CA ind.)</b>           | <b>No</b>            | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Germany</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Greece</b>  | <b>Yes (CA dir. - CA ind.)</b> | <b>No</b>            | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Hungary</b> | <b>No</b>                      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Iceland</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Ireland</b> | <b>Yes (CA ind.)</b>           | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Italy</b>   | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |

|  |                        |               |               |          |
|--|------------------------|---------------|---------------|----------|
| activities)<br>Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Latvia</b>          | No            | Yes (CA dir.) | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Lithuania</b>       | Yes (CA dir.) | Yes (CA dir.) | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Luxembourg</b>      | Yes (CA dir.) | Yes (CA dir.) | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Malta</b>           | Yes (CA dir.) | Yes (CA dir.) | Yes (JA) |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>the Netherlands</b> | Yes (CA dir.) | Yes (CA dir.) | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Norway</b>          | No            | No            | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Poland</b>          | Yes (CA dir.) | No            | No       |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)                | <b>Portugal</b>        | No            | No            | Yes (JA) |

|   |                 |                                |                           |           |
|---|-----------------|--------------------------------|---------------------------|-----------|
| prohibition of professional activities)   |                 |                                |                           |           |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Romania</b>  | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Slovakia</b> | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Slovenia</b> | <b>Yes (CA dir. - JA - OA)</b> | <b>No</b>                 | <b>No</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Spain</b>    | <b>Yes (CA dir. - OA)</b>      | <b>Yes (CA dir. - OA)</b> | <b>No</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Sweden</b>   | <b>Yes (CA ind.)</b>           | <b>No</b>                 | <b>No</b> |
| Art. 14(3) and 12 (2)(f) suspension trading (Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>U.K.</b>     | <b>Yes (CA dir.)</b>           | <b>Yes (CA dir.)</b>      | <b>No</b> |

|   |                | Art.14(3) and Art. 12(2)(g) freezing /sequestration of the assets            |   |   |
|---|----------------|--|---|---|
| MAD ARTICLE   | COUNTRY        | ADMINISTRATIVE MEASURES (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS (AUTHORITY RESPONSIBLE FOR INFLECTING THE SANCTIONS) |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Austria        | Yes (CA ind.)  | No  | Yes (JA)  |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Belgium        | Yes (CA dir.)  | Yes (CA dir.)   | No  |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Bulgaria       | Yes (CA dir.)  | No  | No  |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Czech Republic | No   | No  | No  |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Cyprus         | No   | No  | Yes (JA)  |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | Denmark        | Yes (CA dir.)  | No  | No  |

|   |                |                      |                      |                 |
|---|----------------|----------------------|----------------------|-----------------|
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Estonia</b> | <b>Yes (CA dir.)</b> | <b>Yes (CA dir.)</b> | <b>No</b>       |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Finland</b> | <b>No</b>            | <b>No</b>            | <b>No</b>       |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>France</b>  | <b>No</b>            | <b>No</b>            | <b>Yes (JA)</b> |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Germany</b> | <b>No</b>            | <b>No</b>            | <b>Yes (JA)</b> |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Greece</b>  | <b>No</b>            | <b>No</b>            | <b>Yes (JA)</b> |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Hungary</b> | <b>No</b>            | <b>Yes (CA dir.)</b> | <b>No</b>       |

|   |                   |                           |                      |                      |
|---|-------------------|---------------------------|----------------------|----------------------|
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Iceland</b>    | <b>Yes (CA dir. - JA)</b> | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Ireland</b>    | <b>Yes (CA ind.)</b>      | <b>No</b>            | <b>Yes (CA - JA)</b> |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Italy</b>      | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>Yes (JA)</b>      |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Latvia</b>     | <b>No</b>                 | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Lithuania</b>  | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |
| Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities) | <b>Luxembourg</b> | <b>Yes (CA dir.)</b>      | <b>Yes (CA dir.)</b> | <b>No</b>            |

|  |                               |                             |                             |                        |
|--|-------------------------------|-----------------------------|-----------------------------|------------------------|
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Malta</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>the Netherlands</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Norway</b></p>          | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Poland</b></p>          | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Portugal</b></p>        | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Romania</b></p>         | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>       |

|  |                        |                                       |                  |                             |
|--|------------------------|---------------------------------------|------------------|-----------------------------|
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Slovakia</b></p> | <p><b>Yes (CA dir.)</b></p>           | <p><b>No</b></p> | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Slovenia</b></p> | <p><b>Yes (CA dir. - JA - OA)</b></p> | <p><b>No</b></p> | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Spain</b></p>    | <p><b>Yes (JA)</b></p>                | <p><b>No</b></p> | <p><b>Yes (JA)</b></p>      |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Sweden</b></p>   | <p><b>No</b></p>                      | <p><b>No</b></p> | <p><b>Yes (JA - OA)</b></p> |
| <p>Art.14(3) and 12(2)(g) freezing /sequestration of the assets (Art 14(3) and 12 (2) (e) ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>U.K.</b></p>     | <p><b>Yes (CA dir. - JA)</b></p>      | <p><b>No</b></p> | <p><b>No</b></p>            |

|  |                       | Art.14(3) and Art. 12(2)(h)<br>temporary prohibition of<br>professional activity   |  |   |
|--|-----------------------|--|--|---|
| MAD ARTICLE  | COUNTRY               | ADMINISTRATIVE MEASURES<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | ADMINISTRATIVE PECUNIARY<br>SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) | CRIMINAL SANCTIONS<br>(AUTHORITY RESPONSIBLE FOR<br>INFLECTING THE SANCTIONS) |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Austria</b>        | <b>Yes (CA ind.)</b>   | <b>Yes (CA ind.)</b>   | <b>No</b>   |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Belgium</b>        | <b>Yes (CA dir.)</b>   | <b>Yes (CA dir.)</b>   | <b>No</b>   |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Bulgaria</b>       | <b>Yes (CA dir.)</b>   | <b>No</b>  | <b>No</b>   |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Czech Republic</b> | <b>Yes (CA dir.)</b>   | <b>Yes (CA dir.)</b>   | <b>Yes (JA)</b>   |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Cyprus</b>         | <b>No</b>  | <b>No</b>  | <b>Yes (JA)</b>   |
| Art.14(3) and 12(2)(h)<br>temporary prohibition of<br>professional activity(Art<br>14(3) and 12 (2) (e ) (f)<br>(g) (h) refer to non-<br>compliance with the<br>cessation of the practice,<br>suspension of trading,<br>freezing /sequestration of<br>the assets respectively with<br>the temporary prohibition<br>of professional activities) | <b>Denmark</b>        | <b>Yes (CA dir.)</b>   | <b>No</b>  | <b>No</b>   |

|   |                       |                                       |                             |                        |
|---|-----------------------|---------------------------------------|-----------------------------|------------------------|
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Estonia</b></p> | <p><b>Yes (CA dir.)</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Finland</b></p> | <p><b>Yes (CA dir.)</b></p>           | <p><b>No</b></p>            | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>France</b></p>  | <p><b>Yes (CA dir.)</b></p>           | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Germany</b></p> | <p><b>No</b></p>                      | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Greece</b></p>  | <p><b>Yes (CA dir. - CA ind.)</b></p> | <p><b>No</b></p>            | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Hungary</b></p> | <p><b>No</b></p>                      | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>       |

|   |                          |                                       |                             |                             |
|---|--------------------------|---------------------------------------|-----------------------------|-----------------------------|
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Iceland</b></p>    | <p><b>Yes (CA dir.)</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Ireland</b></p>    | <p><b>Yes (CA ind.)</b></p>           | <p><b>No</b></p>            | <p><b>Yes (CA - JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Italy</b></p>      | <p><b>Yes (CA dir. - CA ind.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (JA)</b></p>      |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Latvia</b></p>     | <p><b>No</b></p>                      | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (JA)</b></p>      |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Lithuania</b></p>  | <p><b>Yes (CA dir.)</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Luxembourg</b></p> | <p><b>Yes (CA dir.)</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>            |

|   |                               |                             |                             |                        |
|---|-------------------------------|-----------------------------|-----------------------------|------------------------|
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Malta</b></p>           | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>the Netherlands</b></p> | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Norway</b></p>          | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Poland</b></p>          | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>            | <p><b>No</b></p>       |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Portugal</b></p>        | <p><b>No</b></p>            | <p><b>No</b></p>            | <p><b>Yes (JA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Romania</b></p>         | <p><b>Yes (CA dir.)</b></p> | <p><b>Yes (CA dir.)</b></p> | <p><b>No</b></p>       |

|   |                        |                                       |                            |                             |
|---|------------------------|---------------------------------------|----------------------------|-----------------------------|
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Slovakia</b></p> | <p><b>Yes (CA dir.)</b></p>           | <p><b>No</b></p>           | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Slovenia</b></p> | <p><b>Yes (CA dir. - JA - OA)</b></p> | <p><b>No</b></p>           | <p><b>No</b></p>            |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Spain</b></p>    | <p><b>Yes (CA ind. - JA)</b></p>      | <p><b>No</b></p>           | <p><b>Yes (JA)</b></p>      |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>Sweden</b></p>   | <p><b>Yes (CA dir.)</b></p>           | <p><b>No</b></p>           | <p><b>Yes (JA - OA)</b></p> |
| <p>Art.14(3) and 12(2)(h) temporary prohibition of professional activity(Art 14(3) and 12 (2) (e ) (f) (g) (h) refer to non-compliance with the cessation of the practice, suspension of trading, freezing /sequestration of the assets respectively with the temporary prohibition of professional activities)</p> | <p><b>U.K.</b></p>     | <p><b>Yes (CA dir. - JA)</b></p>      | <p><b>Yes (CA -JA)</b></p> | <p><b>Yes (CA - JA)</b></p> |