

PwC Plus Article

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ESMA issues second report on sanctions under MiFID II

Overall, in 15 (out of 30) EEA Member States, NCAs imposed a total of 371 sanctions and measures in 2019 of an aggregated value of about €1.8 million.

Keywords

Compliance, Finanzsanktionen, MiFID, MiFID II

FS-sector(s)

Banking & Capital Markets, Asset & Wealth Management

Topics

Risk & Regulation

Issuing Body

ESMA - European Securities and Markets Authority