

Caixa Económica Montepio Geral

Form CCP1

Name of bank / group	Date	Event description	Full name of legal entity involved (and place of incorporation and principal place of business)	Source of information	Code (See CCP2)	Jurisdiction where event occurred (e.g., where fine imposed)	Name of regulator or other authority	Amount [EUR M]	Amount [GBP M]	Any specific observations of compiler
2009										
Caixa Económica Montepio Geral	31/12/2009	Utilised Provisions for other risks	Caixa Económica Montepio Geral Incorporated: Portugal Principal place of business: Portugal	Annual Report (for 2009), pg 188	OTH	Portugal		0.33	0.28	Due to the aggregate nature, the researcher is unable to identify with accuracy the Conduct Costs. However, this is the best available proxy for Conduct Costs

Total (CC 2009): GBP 0,28 M

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2010										
Caixa Económica Montepio Geral	31/12/2010	Utilised Provisions for other risks	Caixa Económica Montepio Geral Incorporated: Portugal Principal place of business: Portugal	Annual Report (for 2010), pg 187	OTH	Portugal		0.10	0.08	Due to the aggregate nature, the researcher is unable to identify with accuracy the Conduct Costs. However, this is the best available proxy for Conduct Costs

Total (CC 2010): GBP 0,08 M

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2011									

Total (CC 2011): GBP 0 M

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2012										
Caixa Económica Montepio Geral	12/07/2012	Poor management of client wealth	Caixa Económica Montepio Geral Incorporated: Portugal Principal place of business: Portugal	Portuguese Newspaper	OTH	Portugal	Court	0.02	0.02	The customer had moved a claim against the bank by a poor management of financial securities, namely funds and Retirement Savings Plans
Caixa Económica Montepio Geral	31/12/2012	Repurchase of participation	Caixa Económica Montepio Geral Incorporated: Portugal Principal place of business: Portugal	Annual Report (for 2012), pg 133	OTH	Portugal		13.50	11.25	Relation with a repurchase of Insurance Company that the bank sold in 2009. The purchase business has been in court because of some ethical issues. The buyer and Montepio had reach an agreement in 2012 by the repurchase of the participation.

Total (CC 2012): GBP 11,27 M

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2013									

Total (CC 2013): GBP 0 M

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2014									

Total (CC 2014): GBP 0 M

Total (CC 2009-2014): GBP 11,62 M

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Provisions as at 31 December 2014										
Caixa Económica Montepio Geral	31/12/2014	Provisions for other risks	Caixa Económica Montepio Geral Incorporated: Portugal Principal place of business: Portugal	Annual Report (for 2014), pg 163	OTH, PVN	Portugal		0.23	0.18	The Bank specified the cost associated with it.

Total (Provisions as at 31 December 2014): GBP 0,18 M

Total (CC 2009-2014 + Provisions as at 31 December 2014): GBP 11,8 M