

EN
ANNEX I

PART 1
Transposition of Directive (EU) 2019/2034

	Transposition of provisions of Directive (EU) 2019/2034	Provisions of Directive (EU) 2019/2034	Links to national text⁽¹⁾	Reference(s) to national provisions⁽²⁾	Available in EN (Y/N)
010	Date of the last update of information in these templates		(26/06/2024)		
020	I. Subject matter, scope and definitions	Articles 1 to 3	Wertpapierfirmengesetz (WPFG)	§§ 1 - 2 WPFG	Y
030	II. Competent authorities	Articles 4 to 8	WPFG	§§ 3 - 5 WPFG	Y
040	III Initial capital	Articles 9 to 11	WPFG	§ 13 WPFG	Y
050	IV. Prudential supervision				
060	CHAPTER 1 - Principles of prudential supervision				
070	Section 1 - Competences and duties of home and host Member States	Articles 12 to 14	WPFG	§§ 6 - 7 WPFG	Y
080	Section 2 - Professional secrecy and duty to report	Articles 15 to 17	WPFG	§§ 8 - 10 WPFG	Y
090	Section 3 - Sanctions, investigatory powers and right of appeal	Articles 18 to 23	WPFG	§§ 3, 11 - 12, 49 - 51 WPFG	Y
100	CHAPTER 2 - Review process				Y
110	Section 1 - Internal capital adequacy assessment process and internal risk	Article 24	WPFG	§ 14 WPFG	Y
120	Section 2 - Internal governance, transparency, treatment of risks and remuneration	Articles 25 to 35	WPFG	§§ 15 - 24 WPFG & Annex § 21 WPEG	Y
130	Section 3 - Supervisory review and evaluation process	Articles 36 to 37	WPFG	§§ 25 - 26 WPFG	Y
140	Section 4 - Supervisory measures and powers	Articles 38 to 45	WPFG	§§ 27 - 35 WPFG	Y
150	CHAPTER 3 - Supervision of investment firm groups				
160	Section 1 - Supervision of investment firm groups on a consolidated basis and supervision of compliance with the group capital test	Articles 46 to 50	WPFG	§§ 38 - 42 WPFG	Y
170	Section 2 - Investment holding companies, mixed financial holding companies and mixed-activity holding companies	Articles 51 to 56	WPFG	§§ 43 - 46, 49 WPFG	Y
180	TITLE V - PUBLICATION BY COMPETENT AUTHORITIES	Article 57	WPFG	§ 48 WPFG	Y
190	TITLE VI - DELEGATED ACTS	Article 58	N/A	N/A	N/A
200	TITLE VII - AMENDMENTS TO OTHER DIRECTIVES	Articles 59 to 64	N/A	N/A	N/A
210	TITLE VIII - FINAL PROVISIONS	Articles 65 to 69	N/A	N/A	N/A

(1) Hyperlink(s) to the website containing the national text transposing the provision of Union law in question.

(2) Detailed references to the provision of national law, such as relevant Title, Chapter, paragraph etc.