

**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 <sup>(1)</sup>	Reference(s) to national provisions <sup>(2)</sup>	Available in EN (Y/N)
010	<b>Date of the last update of information in these templates</b>		(12/06/2023)		
020	<b>I. Subject matter, scope and definitions</b>	Articles 1 to 3	<a href="#">Wertpapierfirmengesetz (WPFG)</a>	§§ 1 - 2 WPFG	N
030	<b>II. Competent authorities</b>	Articles 4 to 8	<a href="#">WPFG</a>	§§ 3 - 5 WPFG	N
040	<b>III Initial capital</b>	Articles 9 to 11	<a href="#">WPFG</a>	§ 13 WPFG	N
050	<b>IV. Prudential supervision</b>				
060	CHAPTER 1 - Principles of prudential supervision				
070	Section 1 - Competences and duties of home and host Member States	Articles 12 to 14	<a href="#">WPFG</a>	§§ 6 - 7 WPFG	N
080	Section 2 - Professional secrecy and duty to report	Articles 15 to 17	<a href="#">WPFG</a>	§§ 8 - 10 WPFG	N
090	Section 3 - Sanctions, investigatory powers and right of appeal	Articles 18 to 23	<a href="#">WPFG</a>	§§ 3, 11 - 12, 49 - 51 WPFG	N
100	CHAPTER 2 - Review process				
110	Section 1 - Internal capital adequacy assessment process and internal risk	Article 24	<a href="#">WPFG</a>	§ 14 WPFG	N
120	Section 2 - Internal governance, transparency, treatment of risks and remuneration	Articles 25 to 35	<a href="#">WPFG</a>	§§ 15 - 24 WPFG & Annex § 21 WPFG	N
130	Section 3 - Supervisory review and evaluation process	Articles 36 to 37	<a href="#">WPFG</a>	§§ 25 - 26 WPFG	N
140	Section 4 - Supervisory measures and powers	Articles 38 to 45	<a href="#">WPFG</a>	§§ 27 - 35 WPFG	N
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	<a href="#">WPFG</a>	§§ 38 - 42 WPFG	N
170	Section 2 - Investment holding companies, mixed financial holding companies and mixed-activity holding companies	Articles 51 to 56	<a href="#">WPFG</a>	§§ 43 - 46, 49 WPFG	N
180	<b>TITLE V - PUBLICATION BY COMPETENT AUTHORITIES</b>	Article 57	<a href="#">WPFG</a>	§ 48 WPFG	N
190	<b>TITLE VI - DELEGATED ACTS</b>	Article 58	N/A	N/A	N/A
200	<b>TITLE VII - AMENDMENTS TO OTHER DIRECTIVES</b>	Articles 59 to 64	N/A	N/A	N/A
210	<b>TITLE VIII - FINAL PROVISIONS</b>	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.