



Sabiedriskā apspriešana

ECB norādījumu par atbilstības un piemērotības novērtējumu projekts

Komentāru veidne

Kontaktinformācija (netiks publiskota)

Iestāde/uzņēmums

Swedbank AS

Kontaktpersona

K-gs k-dze

Vārds

Agnese

Uzvārds

Garda

E-pasta adrese

[Redacted]

Tālruna numurs

[Redacted]

Atzīmējiet šeit, ja nevēlaties, lai publisko jūsu personas datus.

Lūdzam katrā komentārā apspriest tikai vienu jautājumu.

Katram komentāram norādiet:

- ja nepieciešams, attiecīgo pantu/nodaļu/punktu;
- vai komentārā tiek ierosināts veikt grozījumu, skaidrojumu vai svītrojumu.

Ja komentāriem nepieciešams vairāk vietas, vēlreiz pārskatiet 2. lapu.

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Komentāru veidne

Iestādes/uzņēmuma nosaukums Swedbank AS

Valsts Latvia

Komentāri

Norādījumi	Jautājums	Norādījumu sadaļa (norādīt numuru)	Komentārs	Īss jūsu komentāra pamatojums
<input checked="" type="checkbox"/>	Presumption of adequate experience for the management body in its function	5	Grozījums	We propose to add in each of CEO and Director sections after words "banking or financial services", the following: or in other relevant field in organization of comparable size and impact. There are two reasons: 1) with the changing of banking industry and environment expertise in telecommunications, IT, law, other relevant consultancy areas become increasingly needed for the management board; 2) in smaller markets there may be only five or so other banks or financial services

companies offering executives in case outside hire is considered or there is lack of seasoned enough candidates internally.

Presumption of adequate experience 5 Grozījums

The requirement in respect of CEO to have ten years of practical experience out of which significant proportion is spent at senior level managerial positions in emerging markets may be limiting in talent retention and result in motivating banking professionals in senior management positions to look for opportunities abroad before reaching the eligibility for CEO position. It is proposed that the requirement of previous service in managerial positions is reduced to "satisfactory proportion" to be spent at senior level managerial positions. The structure of labor market in the Baltics, for example, is different than in mature economies. There would be only few of the existing or past bank CEO's in the market who would qualify with this criteria upon their appointment. While the market is changing, the change does not happen so fast. The local legal requirement for a board member or CEO presently is three year experience.

5 Reputation Svītrojums

The administrative investigations or fines may be granted with differing ease in each of the member states. In the Baltics, this is the field migrating from dictatorial regime to the modern at a somewhat slower pace. For example, board members as representatives of the bank can be called to administrative penalty in case an attendance of a regular court hearing is missed on any minor collection matter. On a more general level - it is a legal rule and practice that the board

members of a company are subjected to administrative fine of proceedings for any minor breach of company's compliance. National legal acts do not prevent persons with administrative fines to become board members of a bank. The Latvian translation of draft Guide refer to administrative proceedings at court only. That would imply certain level of materiality, except in situations where the person itself has disputed some trivial fine. Therefore, it is recommended to exclude from reputation assessment administrative proceedings (with exceptions of very relevant proceedings in the banking regulation fields for which the person was responsible) or at least to exclude certain degree of trivial administrative proceedings.

Izvēlieties vienu iespēju

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