



## Plan for Onsite inspections for 2022 of FCMC

Name	Market participant	Type of onsite inspection	Period
AAS "Baltijas Apdrošināšanas	Insurance company	full scope inspection	Q2, Q3
Traffic Bureau of the Republic of Latvia	Guarantee Fund of the Compulsory Civil Liability Insurance of Motor Vehicle Owners	full scope inspection	Q3
Luminor atklātais pensiju fonds AS	Open Pension Fund	full scope inspection	Q1, Q2
Swedbank Atklātais Pensiju Fonds	Open Pension Fund	full scope inspection	Q3, Q4
Signet Asset Management IPAS	Investment management	AML inspection	Q2, Q3
Swedbank Ieguldījumu Pārvaldes Sabiedrība AS	Investment management company	full scope inspection	2022 Q4, 2023 Q1
Nasdaq CSD SE	Central Securities	Annual review and evaluation	Q2
Nasdaq CSD SE	Central Securities	IT inspection	Q2
WUPSIL	Payment institution	AML inspection	Q3, Q4
Latvijas Pasts VAS	Payment institution	follow up inspection	Q2
SIA Sollo LV	Payment institution	full scope inspection	Q3, Q4
SIA Rīgas karte	Electronic money	full scope inspection	Q1, Q2
SIA "Viainvest"	Investment firm	AML inspection	Q1
SIA "Viainvest"	Investment firm	limited scope inspection on investment services	Q1, Q2
SIA "Viainvest"	Investment firm	inspection on investment services	Q3, Q4
AS TWINO Investments	Investment firm	AML inspection	Q1, Q2
AS TWINO Investments	Investment firm	limited scope inspection on investment services	Q1, Q2

SIA "DN Operator"	Investment firm	AML inspection	Q2
SIA "DN Operator"	Investment firm	limited scope inspection on investment services	Q2
AS Mintos Marketplace	Investment firm	IT inspection	Q2, Q3
AS Mintos Marketplace	Investment firm	AML inspection	Q3, Q4
AS Mintos Marketplace	Investment firm	limited scope inspection on investment services	Q1
AS Mintos Marketplace	Investment firm	inspection on investment services	Q2
Dukascopy Europe IBS AS	Investment firm	AML inspection	Q4
Straupes KKS	Co-operative credit union	full scope inspection	Q1
Lielvārdes KKS	Co-operative credit union	full scope inspection	Q2, Q3
Latvijas arodbiedrību KKS	Co-operative credit union	full scope inspection	Q3
Salas KKS	Co-operative credit union	full scope inspection	Q4
Co-operative credit unions	Co-operative credit unions	IT inspection	Q2, Q4
AS "Swedbank"	Bank	Single clients files for compensation review	Q4
AS "SEB banka"	Bank	Single clients files for compensation review	Q3
TF Bank AB Latvijas filiāle	Bank	AML inspection	Q1
AS "Rietumu Banka"	Bank	AML inspection	Q2, Q3
AS "Rietumu Banka"	Bank	inspection on ICAAP	Q3
AS "Reģionālā investīciju banka"	Bank	AML inspection	Q2
AS "Signet Bank"	Bank	inspection on collective provisions IFRS 9 models	Q2
AS "Signet Bank"	Bank	AML inspection	Q3
AS "Expobank"	Bank	AML inspection	Q3
AS "Industra banka"	Bank	inspection on credit risk	Q1, Q2
AS "Industra banka", AS "Rietumu banka", AS BlueOrange Bank", AS "LPB bank", AS "Privatbank", Baltic International Bank SE, AS "Reģionālā investīciju banka"	Less significant banks	horizontal inspection on governance of NPL	Q2
AS "LPB Bank"	Bank	IT inspection	Q4

AS "Industra banka", AS "Rietumu banka", AS BlueOrange Bank", AS "Signet Bank"	Less significant banks	inspection on credit risk stress tests	Q4
Less significant banks	Less significant banks	IT general risk assessment	Q2; Q3