

Year-by-Year SEC Enforcement Actions

Enforcement Actions by Fiscal Year	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Broker-Dealer	82	137	140	94	75	89	67	109	70	112
Delinquent Filings	n/a	n/a	n/a	n/a	91	52	113	92	106	121
FCPA	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	* 20
Financial Fraud/Issuer Disclosure	163	199	179	185	138	219	154	143	126	** 89
Insider Trading	59	50	42	50	46	47	61	37	53	57
Investment Adviser/Investment Co.	52	72	90	97	87	79	87	76	112	146
Market Manipulation	42	32	39	46	27	36	53	39	34	35
Securities Offering	119	109	99	60	61	68	115	141	144	124
Other	81	80	50	98	49	65	21	27	32	31
Total Enforcement Actions	598	679	639	630	574	655	671	664	677	735

* Prior to FY 2011, FCPA was not a distinct category and FCPA actions were classified as Issuer Reporting and Disclosure.

** Prior to FY 2011, this category was reported as Issuer Reporting and Disclosure and included FCPA actions. In FY 2011, FCPA actions are tracked separately from financial fraud/issuer disclosure actions.

Disgorgement and Penalties

Fiscal Year	2007	2008	2009	2010	2011
Disgorgement	\$1.093 billion	\$774 million	\$2.09 billion	\$1.82 billion	\$1.878 billion
Penalties	\$507 million	\$256 million	\$345 million	\$1.03 billion	\$928 million
Total	\$1.6 billion	\$1.03 billion	\$2.435 billion	\$2.85 billion	\$2.806 billion