

Year-by-Year SEC Enforcement Statistics

Enforcement Actions by Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Broker-Dealer	94	75	89	67	109	70	112	134	121	166
Delinquent Filings	n/a	91	52	113	92	106	121	127	132	107
FCPA	n/a	n/a	n/a	n/a	n/a	n/a	* 20	15	5	7
Insider Trading	50	46	47	61	37	53	57	58	44	52
Investment Adviser/Investment Co.	97	87	79	87	76	113	146	147	140	130
Issuer Reporting and Disclosure	185	138	219	154	143	126	** 89	79	68	99
Market Manipulation	46	27	36	53	39	34	35	46	50	63
Securities Offering	60	61	68	115	141	144	124	89	103	81
Other	98	49	65	21	27	35	31	39	13	50
Total Enforcement Actions	630	574	655	671	664	681	735	734	676	755

* 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 included FCPA actions, which are now tracked as a distinct category.