

## Year-By-Year Monetary Sanctions in SEC Enforcement Actions

### FY 2013

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$2.257 billion** and pay penalties of approximately **\$1.167 billion**.

### FY 2012

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$2.083 billion** and pay penalties of approximately **\$1.021 billion**.

### FY 2011

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$1.878 billion** and pay penalties of approximately **\$928 million**.

### FY 2010

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$1.82 billion** and pay penalties of approximately **\$1.03 billion**.

### FY 2009

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$2.09 billion** and pay penalties of approximately **\$345 million**.

### FY 2008

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$774 million** and pay penalties of approximately **\$256 million**.

### FY 2007

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$1.093 billion** and pay penalties of approximately **\$507 million**.

### FY 2006

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$2.3 billion** and pay penalties of approximately **\$975 million**.

### FY 2005

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$1.6 billion** and pay penalties of approximately **\$1.5 billion**.

### FY 2004

Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately **\$1.9 billion** and pay penalties of approximately **\$1.2 billion**.