

Table 1
**ENFORCEMENT CASES INITIATED BY THE COMMISSION
 DURING FISCAL YEAR 2000 IN VARIOUS PROGRAM AREAS**

(Each case initiated has been included in only one category listed below, even though many cases involve multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.)

Program Area in Which a Civil Action or Administrative Proceeding Was Initiated	Civil Actions	Administrative Proceedings	Total	% of Total Cases
Securities Offering Cases	70 (314)	55 (73)	125 (387)	25%
Broker-dealer Cases				
(a) Fraud Against Customer	12 (24)	22 (28)	34 (52)	
(b) Failure to Supervise	1 (1)	5 (10)	6 (11)	
(c) Government/Municipal Securities	1 (1)	16 (20)	17 (21)	
(d) Books & Records	1 (2)	1 (3)	2 (5)	
(e) Other	5 (22)	8 (23)	13 (45)	
Total Broker-dealer Cases	<u>20 (50)</u>	<u>52 (84)</u>	<u>72 (134)</u>	14%
Issuer Financial Statement and Reporting Cases				
(a) Issuer Financial Disclosure	32 (83)	68 (77)	100 (160)	
(b) Issuer Reporting Other	3 (6)	0 (0)	3 (6)	
Total Issuer Financial Statement and Reporting Cases	<u>35 (89)</u>	<u>68 (77)</u>	<u>103 (166)</u>	20%
Other Regulated Entity Cases				
(a) Investment Advisers	13 (33)	27 (43)	40 (76)	
(b) Investment Companies	1 (3)	3 (6)	4 (9)	
(c) Transfer Agent	0 (0)	1 (2)	1 (2)	
(d) SROs	0 (0)	1 (1)	1 (1)	
Total Other Regulated Entity Cases	<u>14 (36)</u>	<u>32 (52)</u>	<u>46 (88)</u>	9%
Insider Trading Cases	36 (112)	4 (4)	40 (116)	8%
Market Manipulation Cases	28 (108)	20 (71)	48 (179)	10%
Delinquent Filings				
(a) Issuer Reporting	4 (4)	1 (1)	5 (5)	
(b) Forms 3&4	0 (0)	3 (4)	3 (4)	
Total Delinquent Filings Cases	<u>4 (4)</u>	<u>4 (5)</u>	<u>8 (9)</u>	2%
Contempt Proceedings	36 (70)	0 (0)	36 (70)	7%
Newsletter/Touting	6 (14)	1 (1)	7 (15)	1%
Miscellaneous Cases	10 (21)	7 (11)	17 (32)	3%
Corporate Control	0 (0)	1 (1)	1 (1)	0%
GRAND TOTAL	<u>259 (818)</u>	<u>244 (379)</u>	<u>503 (1197)</u>	100%