

Table 3  
 INVESTIGATIONS OF POSSIBLE VIOLATIONS OF THE ACTS  
 ADMINISTERED BY THE COMMISSION

Pending as of October 1, 1999 .....	1,966
Opened in Fiscal Year 2000 .....	558
Total .....	2,524
Closed in Fiscal Year 2000 .....	284
Pending as of September 30, 2000 .....	2,240
Formal Orders of Investigation	
Issued in Fiscal Year 2000 .....	345

Table 4  
 ADMINISTRATIVE PROCEEDINGS INSTITUTED  
 DURING FISCAL YEAR ENDING SEPTEMBER 30, 2000

Broker-dealer Proceedings .....	118
Investment Adviser, Investment Company and Transfer Agent Proceedings .....	49
Rule 102 Proceedings .....	33
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Suspensions of Trading in Securities in Fiscal Year 2000 .....	11