

ENFORCEMENT STATISTICS *

12 months to 31 May 2017

Total enforcement outcomes: 243

	Criminal	Civil	Admin	EU	Negotiated Outcome	Total
Auditor and Liquidators	1	1	4	1	6	13
Action against auditors			2			2
Action against liquidators	1	1	2	1	6	11
Corporations and their Officers	11	4	11			26
Action against directors	10	2	10			22
Insolvency	1	1				2
Other corporate governance misconduct		1	1			2
Financial Markets	7	8	16	4		35
Continuous disclosure		3	2			5
Insider trading	4	1	1	1		7
Market integrity rules			7			7
Other market misconduct	3	4	6	3		16
Financial Services and Products	9	24	87	10	39	169
Credit	5	4	14	1		24
Dishonest conduct, misleading statements, unconscionable conduct	3	8	27	1		39
Misappropriation, theft, fraud	1		4			5
Other financial services misconduct		12	41	8	39	100
Unlicensed conduct			1			1
Total	28	37	118	15	45	243

Of Note:

- 31 AFS licences suspended or cancelled.
- 23 individuals permanently banned from providing financial advice. A further 33 individuals banned for shorter periods of time
- Over \$9.7M in fines
- Over \$804M in compensation/remediation recovered for investors and financial consumers
- 14 individuals sentenced to jail

*Please note these statistics are based on ASIC's media releases issued in the relevant period and as such may not reflect all of ASIC's enforcement results. These figures should be used as a guide only.