

ASIC surveillances and enforcement outcomes

1 July 2011 – 31 March 2016

6000+
high-intensity
surveillances
undertaken

900+
investigations
completed

CRIMINAL ACTIONS



100+ criminal convictions,
65 people jailed

CIVIL ACTIONS



\$25m+ in civil penalties

ADMINISTRATIVE ACTIONS



400+ people/companies banned
from providing financial
services or credit



250+ people disqualified or removed
from directing companies

ENFORCEABLE UNDERTAKINGS



70+ enforceable undertakings secured

COMPENSATION



\$550m+ compensation secured
for investors and financial
consumers

INDUSTRY REPORTS



50+ industry reports promoting
changes in industry behaviour
and informing government
policy and law reform