

Year-by-Year SEC Enforcement Statistics

Enforcement Actions by Fiscal Year	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
Broker-Dealer	137	140	94	75	89	67	109	70	112	134
Delinquent Filings	n/a	n/a	n/a	91	52	113	92	106	121	127
FCPA	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	* 20	15
Financial Fraud/Issuer Disclosure	199	179	185	138	219	154	143	126	** 89	79
Insider Trading	50	42	50	46	47	61	37	53	57	58
Investment Adviser/Investment Co.	72	90	97	87	79	87	76	113	146	147
Market Manipulation	32	39	46	27	36	53	39	34	35	46
Securities Offering	109	99	60	61	68	115	141	144	124	89
Other	80	50	98	49	65	21	27	35	31	39
Total Enforcement Actions	679	639	630	574	655	671	664	681	735	734

* Prior to FY 2011, FCPA was not a distinct category and FCPA actions were classified as Issuer Reporting and Disclosure.

** Prior to FY 2011, this category was reported as Issuer Reporting and Disclosure and included FCPA actions, which are now tracked separately from Financial Fraud/Issuer Disclosure actions.