

STATE SECURITIES REGULATORS ENFORCEMENT STATISTICS

(Three Years Aggregated)

ENFORCEMENT ACTIONS

8,365

(Includes administrative, civil, and criminal)

MONETARY FINES & PENALTIES ORDERED

\$178 million

(Includes civil and criminal)

MONEY ORDERED TO BE RETURNED TO INVESTORS

\$1.8 billion

(Includes restitution, rescission, and disgorgement)

YEARS OF INCARCERATION SENTENCED

2764.64 years

NOTES

- The data reflected is sum of the enforcement statistics for the 2004/2005, 2005/2006, and 2006/2007 reporting periods.
- Data for the 2004/2005 reporting period reflects either calendar year 2005 or most recent fiscal year, July 1, 2004 through June 30, 2005. Totals are based on responses from 42 of 53 jurisdictions.
- Data for the 2005/2006 reporting period reflects either calendar year 2006 or most recent fiscal year, July 1, 2005 through June 30, 2006. Totals are based on responses from 36 of 53 jurisdictions.
- Data for the 2006/2007 reporting period reflects either calendar year 2007 or most recent fiscal year, July 1, 2006 through June 30, 2007. Totals are based on responses from 35 of 53 jurisdictions.

SOURCE: North American Securities Administrators Association