

Table of Summary

(Unit: # of cases)

category	business year 1992 to 2002	2003	2004	2005	2006	2007	2008	2009	Total	
Criminal Charges (# of cases)	53	10	11	11	13	10	13 (4)	17	134	
Recommendation (# of cases)	244	26	17	39	43	59	50 (19)	74	533	
Recommendations based on securities inspections	244	26	17	29	28	28	18 (4)	21	407	
Recommendations concerning orders to pay administrative monetary penalties	—	—	—	9	14	31	32 (15)	53	124	
Recommendations concerning an order to submit amendment	—	—	—	1	1	0	0 (0)	0	2	
Proposals (# of cases)	6	1	0	5	3	0	4 (4)	4	19	
securities inspections	Financial instrument business operators (companies, etc.)	[771] 981	[93] 125	[83] 113	[111] 150	[107] 150	[132] 187	[156] 19 (62)	[(50)] 176	[133] 2,011
	Type I financial instrument business operators	[771] 981	[93] 125	[83] 113	[86] 111	[80] 99	[111] 138	[96] 117 (20)	[(16)] 90	[72] 1,754
	Former domestic securities companies	[770] 874	[92] 107	[83] 96	[73] 88	[68] 78	[63] 89	[78] 89 (15)	[(13)] 72	[60] 1,478
	Former foreign securities companies	106	17	17	10	9	1	7 (2)	6	171
	Former financial futures dealers	[1] 1	[1] 1	[0] 0	[13] 13	[12] 12	[48] 48	[21] 21 (3)	[(3)] 12	[12] 105
	Type II financial instrument business operators	— —	— —	— —	— —	— —	[0] 2	[0] 1 (1)	[(0)] 23	[17] 25
	Asset management firms, investment advisories, agencies (former investment trust/ investment advisories)	[—] —	[—] —	[—] —	[25] 39	[27] 51	[21] 47	[57] 73 (41)	[(34)] 63	[44] 232
	Investment corporation (legal persons)	— —	— —	— —	2	7	10	7 (1)	9	34
	Registered financial institutions (institutions)	[62] 75	[10] 13	[20] 27	[23] 28	[26] 27	[29] 32	[24] 25 (4)	[(4)] 24	[24] 247
	Financial instrument broker (brokers) (Former securities broker)	[—] —	[0] 0	[0] 0	[1] 1	[1] 1	[1] 1	[0] 0 (0)	[(0)] 1	[1] 4
	self-regulatory organizations	3	2	0	2	6	1	5 (2)	5	22
	Other	0	0	0	0	1	2	0 (0)	1	4
	Companies acknowledged as having problems (companies, etc.)	686	67	67	93	142	121	112 (35)	123	1,376
	Market oversight (# of cases)	[1,254] 3,138	[305] 687	[307] 674	[320] 875	[408] 1,039	[500] 1,098	[538] 1,031 (144)	[(144)] 749	[430] 9,015

Note:

1. "Business year basis" (July to June the following year) until BY2008. "Accounting year basis" (April to March the following year) since FY2009.

Numbers in parentheses () in business year 2008 are in the period (April-June 2009) which overlaps with FY2009 for the transition to "accounting year basis."

2. The total number of cases of securities inspections refers to the number of cases that have been started. The total number of cases in the market oversight refers to the number of cases that have been completed.

3. The numbers in the brackets concern Local Finance Bureaus.

4. In addition to the investigations of the financial instrument business operators indicated above (former securities companies), Local Finance Bureaus and other organizations conduct inspections of individual branches of those financial instrument business operators (former securities companies) that are assigned to the Commission