

Activities in figures

Table of Summary

Unit: Number of cases

Category \ Business year /Fiscal year	1992 to 2005	2006	2007	2008	2009	2010	2011	2012	Total	
Criminal charges	85	13	10	13 (4)	17	8	15	7	164	
Recommendations	326	43	59	50 (19)	74	64	45	62	704	
Recommendations based on securities inspections	316	28	28	18 (4)	21	19	16	20	462	
Recommendations to pay administrative monetary penalty (market misconduct)	9	9	21	20 (10)	43	26	18	32	168	
Recommendations to pay administrative monetary penalty (false statements in disclosure statements,	0	5	10	12 (5)	10	19	11	9	71	
Recommendations for order to submit revised report, etc.	1	1	0	0 (0)	0	0	0	1	3	
Petition for a court injunction , etc., against unregistered business operator or solicitation without the filing of securities registration	-	-	-	0 (0)	0	2	3	1	6	
Proposals	12	3	0	4 (4)	4	2	1	1	23	
Securities inspections	Financial instrument businesses operators	1,369	150	187	191 (62)	176	148	148	153	2,460
	Type I financial instrument businesses operators	1,330	99	138	117 (20)	91	91	85	57	1,988
	Type II financial instrument businesses operators	-	-	2	1 (1)	22	6	14	20	64
	Investment management firms Investment advisories/agencies	39	51	47	73 (41)	63	51	49	76	408
	Registered financial institutions	143	27	32	25 (4)	24	28	32	28	335
	Persons making notification for business specially permitted for qualified institutional investors	-	-	0	0 (0)	1	2	6	21	30
	Financial instruments intermediaries	1	1	1	0 (0)	1	1	9	9	23
	Credit rating agencies	-	-	-	-	-	0	4	3	7
	Self-regulatory organizations	7	6	1	5 (2)	5	1	0	0	23
	Investment corporations	2	7	10	7 (1)	9	6	2	0	42
	Other	0	1	2	0 (0)	0	0	1	0	4
	Total	1,522	192	233	228 (69)	216	186	202	214	1,725
Market oversight	5,374	1,039	1,098	1,031 (276)	749	691	913	973	11,592	

Notes

1. Total number of securities inspections refers to the number of cases that have been started.
2. In addition to the inspections of Type I financial instrument businesses operators (former domestic securities companies) above, Local Finance Bureaus and other organizations conduct inspections of individual branches of those Type I financial instrument businesses operators (former domestic securities companies) that are assigned to the SESC.
3. Up until business year 2006, "investment management firms" was "former investment trust management businesses," and "investment advisories/agencies" was "former investment advisories."
4. Up until business year 2008, there was a "business year basis" of July to June the following year, and since fiscal year 2009, there has been an "accounting year basis" of April to March the following year.
5. The numbers in parentheses () in business year 2008 refer to the number of cases in the period (April-June 2009) which overlap with fiscal year 2009 during the transition to the "accounting year basis."