

Activities in Figures

Table of Summary

Unit: Number of cases

Category	Fiscal year	1992 to 2016	2017	2018	2019	2020	2021	Total
Criminal charges		188	4	8	3	2	8	213
Recommendations		990	38	54	49	29	20	1,180
Recommendations based on securities inspections		549	10	11	14	5	2	591
Recommendations for administrative monetary penalty payment orders (market misconduct)		338	26	33	29	14	12	452
Recommendations for administrative monetary penalty payment orders (false statements in disclosure statements, etc.)		99	2	10	6	10	5	132
Recommendations for order to submit correction report, etc.		4	0	0	0	0	1	5
Announcement of results of inspection of persons making notification for business specially permitted for qualified institutional investors		82	4	0	2	0	0	88
Petition for a court injunction, etc., against unregistered business operator or solicitation without the filing of securities registration statements		18	2	2	3	1	1	27
Proposals		24	0	2	0	0	0	26
Securities inspections	Financial instrument businesses operators	3,053	25	55	64	41	37	3,275
	Type I financial instrument businesses operators	2,211	19	35	44	34	28	2,371
	Type II financial instrument businesses operators	285	2	7	4	1	1	300
	Investment management firms Investment advisories/agencies	557	4	13	16	6	8	604
	Registered financial institutions	346	0	3	2	0	2	353
	Persons making notification for business specially permitted for qualified institutional investors	134	0	4	0	2	0	140
	Financial instruments intermediaries	70	0	4	2	2	2	80
	Credit rating agencies	9	0	0	1	1	0	11
	Self-regulatory organizations	32	0	0	2	0	2	36
	Investment corporations	49	0	1	1	0	2	53
	Other	14	0	1	1	1	1	18
	Total	3,707	25	68	73	47	46	3,966
Market oversight		15,958	1,099	1,052	1,061	965	969	21,104

Notes

- Total number of securities inspections refers to the number of cases that have been started.
- 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.