

ASIC surveillances and enforcement outcomes

1 July 2011 – 30 June 2017



7000+
high-intensity
surveillances
undertaken

1100+
investigations
completed

CRIMINAL ACTIONS



140+ criminal convictions,
80+ people jailed

CIVIL ACTIONS



\$32m+ in civil penalties

ADMINISTRATIVE ACTIONS



670+ people/companies banned
from providing financial
services or credit



340+ people disqualified or removed
from directing companies

ENFORCEABLE UNDERTAKINGS



100+ enforceable undertakings secured

COMPENSATION



\$1.4b+ compensation secured
for investors and financial
consumers

INDUSTRY REPORTS



85+ industry reports promoting
changes in industry behaviour
and informing government
policy and law reform