

ASIC enforcement outcomes

As at 31 July 2018

		Financial year to date ¹	Since July 2011 ²
		1 Jul 2018 - 31 July 2018	1 Jul 2011 - 31 July 2018
Criminal actions	People convicted	1	160+
	Custodial sentences (including fully suspended)	1	100+
	Non-custodial sentences/fines	-	70+
Civil actions	Civil proceedings completed	-	140+
	Amount (\$) in civil penalties	-	\$71.2m+
Administrative actions	People/companies removed or restricted from providing financial services or credit ³	14	840+
	People disqualified or removed from directing companies	4	400+
Infringement notices	Infringement notices issued	1	370+
	Amount (\$) in infringement notices paid	\$33,000	\$12.08m+
Enforceable undertakings	Court enforceable undertakings secured	4	150+
Compensation	Amount (\$) in compensation and remediation for investors and consumers	-	\$1.82bn+
	Amount (\$) in community benefit fund payments	\$15.5m	\$90.6m+

Table notes:

1. Current financial year figures are subject to change. This is due to appeals and delays in data capture.

2. Results since July 2011 have been rounded to significant figures.

3. Results do not include bannings that have not been served.

ASIC enforcement outcomes, by financial year

		2018-19 ⁴	2017-18	2016-17	2015-16	2014-15	2013-14	2012-13	2012-11
		As at 31 July 2018							
Criminal actions	People convicted	1	22	20	22	23	30	22	27
	Custodial sentences (including fully suspended)	1	13	13	18	12	14	9	20
	Non-custodial sentences/fines	-	13	7	4	11	16	13	7
Civil actions	Civil proceedings completed	-	30	28	20	19	13	15	24
	Amount (\$) in civil penalties	-	\$42.2m	\$5.2m	\$1.2m	\$18.9m	\$2.7m	\$817,500	\$30,000
Administrative actions	People/companies removed or restricted from providing financial services or credit ³	14	133	209	140	92	117	88	54
	People disqualified or removed from directing companies	4	50	51	39	40	62	72	84
Infringement notices	Infringement notices issued	1	52	74	109	83	38	18	4
	Amount (\$) in infringement notices paid	\$33,000	\$1.9m	\$4.3m	\$2.3m	\$1.3m	\$1.4m	\$543,300	\$120,000
Enforceable undertakings	Court enforceable undertakings secured	4	27	16	22	20	26	20	22
Compensation	Amount (\$) in compensation and remediation for investors and consumers	-	\$351.6m	\$837.7m	\$210.5m	\$36.1m	\$175.3m	\$203.9m	\$11.4m
	Amount (\$) in community benefit fund payments	\$15.5m	\$48.1m	\$18.8m	\$2.2m	\$1.7m	\$4.2m	-	-

Table notes:

4. Results for the financial years between 2011-12 and 2017-18, are consistent with ASIC Annual Reports.