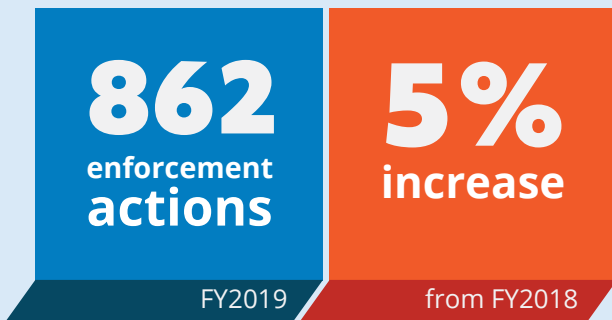


# SEC FY2019 ENFORCEMENT STATISTICS

## Increase in Enforcement Activity



**\$4.3** Billion in disgorgements and penalties

**\$1.2** Billion returned to investors harmed by misconduct

**595** Bars & suspensions of firms and individuals

**271** Suspended trading of issuers' securities

## Types of Enforcement Actions on the Rise



Cybercrime is a growing threat



Increase in cases involving cryptocurrencies

**1st**

First time in history: Unlawful promotion of ICOs (Initial Coin Offerings) charges filed

## A Look Inside the SEC

Increased investment into personnel headcount and technologies used to analyze vast amounts of data.

**15** New hires during the past fiscal year

**22** More staffers approved to be added

## Mitigate Your Risk

Get the right compliance program in place to meet regulator's use of technologies. It's time to enhance your firm's policy and procedure testing efforts.

Learn how with a [ComplySci Demo](#)

### About ComplySci

ComplySci's regulatory technology solutions help compliance professionals identify, manage and report on employee conflicts of interests and compliance risk activities, including personal trading, political contributions, and other violations.

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