

We Enforce



“Malpractice and crimes will not go unnoticed or unpunished.”

EFFECTIVE

regulation needs to be backed by credible enforcement. We have an excellent record of enforcement. We will continue to build our enforcement capability and seek to ensure there is effective deterrence against misconduct and crimes in the securities market. We adjust the intensity of our enforcement actions and concentrate resources more heavily on the important problems.

Enforce

Last year, we

- ✓ concluded 84 disciplinary inquiries and took action against 98 companies and people
- ✓ disciplined a sponsor for due diligence failure
- ✓ banned a securities analyst from the industry for five years for conflicts of interest
- ✓ prosecuted 72 companies and people
- ✓ identified 18 cases of suspect warrants market activities for investigation
- ✓ investigated 27 cases involving listed companies
- ✓ assisted the Court in a successful ICAC prosecution of a high profile market manipulation case
- ✓ referred 24 cases to the Police