

Full text for Figure 7: Breakdown of Total Monetary Settlements Imposed in Public Company and Subsidiary Actions (FY 2012–FY 2021). For each fiscal year from 2012 through 2021, inclusive, there is a stacked bar divided into four categories; these categories are as follows (from top to bottom): a light gray bar indicating civil penalties and other monetary settlements for civil actions, a light blue bar indicating disgorgement and prejudgment interest for civil actions, a dark gray bar indicating civil penalties and other monetary settlements for administrative proceedings, and a teal bar indicating disgorgement and prejudgment interest for administrative proceedings. In FY 2012, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.03 billion and \$0.39 billion, respectively, which amounted to 4% and 51% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.06 billion and \$0.27 billion, respectively, which amounted to 9% and 37% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$0.75 billion. In FY 2013, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.3 billion and \$0.24 billion, respectively, which amounted to 21% and 17% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.29 billion and \$0.62 billion, respectively, which amounted to 20% and 43% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.45 billion. In FY 2014, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.75 billion and \$0.45 billion, respectively, which amounted to 45% and 26% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.32 billion and \$0.16 billion, respectively, which amounted to 19% and 9% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.68 billion. In FY 2015, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.35 billion and \$0.20 billion, respectively, which amounted to 29% and 17% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.53 billion and \$0.14 billion, respectively, which amounted to 43% and 12% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.22 billion. In FY 2016, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.79 billion and \$0.38 billion, respectively, which amounted to 36% and 17% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$1.02 billion and \$0.01 billion, respectively, which amounted to 46% and less than 1% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$2.19 billion. In FY 2017, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.41 billion and \$0.66 billion, respectively, which amounted to 27% and 43% of total monetary settlements in public company and subsidiary actions. Civil penalties and

other monetary settlements in administrative proceedings and civil actions totaled \$0.45 billion and \$0.03 billion, respectively, which amounted to 29% and 2% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.55 billion. In FY 2018, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$1.20 billion and \$0.01 billion, respectively, which amounted to 49% and less than 1% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$1.18 and \$0.04 billion, respectively, billion which amounted to 49% and 2% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$2.43 billion. In FY 2019, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.82 billion and \$0.04 billion, respectively, which amounted to 56% and 3% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.44 billion and \$0.16 billion, respectively, which amounted to 30% and 11% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.46 billion. In FY 2020, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.31 billion and \$0.58 billion, respectively, which amounted to 19% and 35% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.74 billion and \$0.02 billion, respectively, which amounted to 45% and 1% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.65 billion. In FY 2021, disgorgement and prejudgment interest in administrative proceedings and civil actions totaled \$0.72 billion and \$0.11 billion, respectively, which amounted to 40% and 6% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements in administrative proceedings and civil actions totaled \$0.78 billion and \$0.21 billion, respectively, which amounted to 43% and 11% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.83 billion.