

Full text for Figure 9: Monetary Settlements in Public Company and Subsidiary Actions, Disgorgement and Prejudgment Interest as a Percentage of Total (FY 2010 – FY 2019). For each fiscal year from 2010 through 2019, inclusive, there is a stacked bar divided into two categories: a teal bar indicating disgorgement and prejudgment interest and a gray bar indicating civil penalties and other monetary settlements. In FY 2010, disgorgement and prejudgment interest totaled \$0.51 billion which amounted to 34% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.99 billion which amounted to 66% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.50 billion. In FY 2011, disgorgement and prejudgment interest totaled \$0.42 billion which amounted to 51% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.40 billion which amounted to 49% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$0.82 billion. In FY 2012, disgorgement and prejudgment interest totaled \$0.40 billion which amounted to 55% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.33 billion which amounted to 45% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$0.74 billion. In FY 2013, disgorgement and prejudgment interest totaled \$0.54 billion which amounted to 37% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.91 billion which amounted to 63% 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 2014, disgorgement and prejudgment interest totaled \$1.2 billion which amounted to 71% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.48 billion which amounted to 29% 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 totaled \$0.50 billion which amounted to 45% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.67 billion which amounted to 55% 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 totaled \$1.17 billion which amounted to 53% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$1.02 billion which amounted to 47% 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 totaled \$0.81 billion which amounted to 63% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.47 billion which amounted to 37% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$1.29 billion. In FY 2018, disgorgement and prejudgment interest totaled \$1.17 billion which amounted to 49% of total

monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$1.23 billion which amounted to 51% of total monetary settlements in public company and subsidiary actions. The total amount for monetary settlements in public company and subsidiary actions was \$2.4 billion. In FY 2019, disgorgement and prejudgment interest totaled \$0.85 billion which amounted to 59% of total monetary settlements in public company and subsidiary actions. Civil penalties and other monetary settlements totaled \$0.60 billion which amounted to 41% 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.