

**Statistics of Administrative Sanction (As of 30 September 2023)**

Types of Personel or Professionals/ Year	2023			2022		
	Public Reprimand	Suspension	Revocation	Public Reprimand	Suspension	Revocation
<b>Business Operator Personnel</b>						
Director & Executive	-	-	-	-	-	-
Member of fund investment committee	-	-	-	-	-	-
Fund manager	-	-	-	-	-	-
Investment Consultant <sup>/1</sup>	-	-	1	0	0	0
<b>Other Professionals</b>						
Auditor <sup>/2</sup>	-	-	-	-	1	-
Financial advisor	-	-	-	-	-	-
Supervisor of financial advisor	-	-	-	-	-	-
Valuation Company	-	-	-	-	-	-
Principal Valuer	-	-	-	-	-	-
<b>Grand Total</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>5</b>	<b>10</b>

<sup>/1</sup> Including investment analyst

<sup>/2</sup> Excluding the cases where the SEC Office issued warning letters which are not deemed administrative sanction

<sup>/3</sup> In 2020, there were 2 investment consultants imposed administrative sanction as Investment Consultant and Director & Executive.

**Statistics of Administrative Sanction (As of 30 September 2023)**

Types of Personel or Professionals/ Year	2021			2020 <sup>/3</sup>		
	Public Reprimand	Suspension	Revocation	Public Reprimand	Suspension	Revocation
<b>Business Operator Personnel</b>						
Director & Executive	-	2	1	-	1	2
Member of fund investment committee	-	-	-	-	-	-
Fund manager	-	-	-	-	-	-
Investment Consultant <sup>/1</sup>	0	11	3	0	0	0
<b>Other Professionals</b>						
Auditor <sup>/2</sup>	-	-	-	-	-	-
Financial advisor	-	-	-	-	-	-
Supervisor of financial advisor	-	-	-	-	-	-
Valuation Company	-	-	-	-	-	-
Principal Valuer	-	-	-	-	-	-
<b>Grand Total</b>	<b>0</b>	<b>13</b>	<b>4</b>	<b>0</b>	<b>12</b>	<b>18</b>

<sup>/1</sup> Including investment analyst

<sup>/2</sup> Excluding the cases where the SEC Office issued warning letters which are not deemed administrative sanction

<sup>/3</sup> In 2020, there were 2 investment consultants imposed administrative sanction as Investment Consultant and Director & Executive.

**Statistics of Administrative Sanction (As of 30 September 2023)**

Types of Personel or Professionals/ Year	2019			2018		
	Public Reprimand	Suspension	Revocation	Public Reprimand	Suspension	Revocation
<b>Business Operator Personnel</b>						
Director & Executive	-	3	1	-	1	-
Member of fund investment committee	-	5	-	-	-	-
Fund manager	-	-	-	-	-	-
Investment Consultant <sup>/1</sup>	0	0	0	0	0	0
<b>Other Professionals</b>						
Auditor <sup>/2</sup>	-	1	-	-	-	-
Financial advisor	-	-	-	-	2	-
Supervisor of financial advisor	-	-	-	-	2	-
Valuation Company	-	-	-	-	-	-
Principal Valuer	-	-	-	-	-	-
<b>Grand Total</b>	<b>0</b>	<b>21</b>	<b>4</b>	<b>0</b>	<b>15</b>	<b>7</b>

<sup>/1</sup> Including investment analyst

<sup>/2</sup> Excluding the cases where the SEC Office issued warning letters which are not deemed administrative sanction

<sup>/3</sup> In 2020, there were 2 investment consultants imposed administrative sanction as Investment Consultant and Director & Executive.

**Statistics of Administrative Sanction (As of 30 September 2023)**

Types of Personel or Professionals/ Year	2017			2016		
	Public Reprimand	Suspension	Revocation	Public Reprimand	Suspension	Revocation
<b>Business Operator Personnel</b>						
Director & Executive	-	4	2	-	4	3
Member of fund investment committee	-	-	-	-	-	-
Fund manager	-	-	1	-	-	-
Investment Consultant <sup>/1</sup>	0	0	0	0	0	0
<b>Other Professionals</b>						
Auditor <sup>/2</sup>	-	-	-	-	-	-
Financial advisor	-	-	-	-	2	-
Supervisor of financial advisor	-	-	-	-	2	-
Valuation Company	-	1	-	-	-	-
Principal Valuer	-	1	-	-	-	-
<b>Grand Total</b>	<b>0</b>	<b>15</b>	<b>6</b>	<b>0</b>	<b>24</b>	<b>20</b>

<sup>/1</sup> Including investment analyst

<sup>/2</sup> Excluding the cases where the SEC Office issued warning letters which are not deemed administrative sanction

<sup>/3</sup> In 2020, there were 2 investment consultants imposed administrative sanction as Investment Consultant and Director & Executive.

**Statistics of Administrative Sanction (As of 30 September 2023)**

Types of Personel or Professionals/ Year	2015			2014		
	Public Reprimand	Suspension	Revocation	Public Reprimand	Suspension	Revocation
<b>Business Operator Personnel</b>						
Director & Executive	-	4	-	-	1	-
Member of fund investment committee	-	-	-	-	-	-
Fund manager	-	-	-	-	-	1
Investment Consultant <sup>/1</sup>	0	0	0	0	0	0
<b>Other Professionals</b>						
Auditor <sup>/2</sup>	-	-	-	-	-	-
Financial advisor	-	1	0	-	-	-
Supervisor of financial advisor	-	1	1	-	-	-
Valuation Company	-	-	-	-	-	-
Principal Valuer	-	-	-	-	-	-
<b>Grand Total</b>	<b>0</b>	<b>44</b>	<b>4</b>	<b>1</b>	<b>38</b>	<b>7</b>

<sup>/1</sup> Including investment analyst

<sup>/2</sup> Excluding the cases where the SEC Office issued warning letters which are not deemed administrative sanction

<sup>/3</sup> In 2020, there were 2 investment consultants imposed administrative sanction as Investment Consultant and Director & Executive.