

Statistics of Civil Sanctions (As of 30 September 2023)

Offences/Year	2023						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	-	-
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	-	-
Unfair Securities/Digital Assets Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	1	5	5,000,000.00	-	153,310.00	-	-
Market manipulation	3	6	83,000,000.00	131,227.00	48,638.00	2	15
Insider trading / Disclose inside information	2	4	4,156,408.69	3,325,126.96	259,735.35	1	7
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account*		3	150,000.00	-	62,649.00	-	-
Grand Total	6	18	92,306,408.69	3,456,353.96	524,332.35	3	22

*This offense was committed in the same case as the offense of market manipulation or insider trading.

Offences/Year	2022						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	-	-
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	-	-
Unfair Securities/Digital Assets Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-	-
Market manipulation	2	5	36,000,000.00	-	241,938.00	1	2
Insider trading / Disclose inside information	6	36	37,737,920.60	22,148,612.01	1,610,776.88	-	-
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account*		1	300,000.00	-	97,185.00	-	-
Grand Total	8	42	74,037,920.60	22,148,612.01	1,949,899.88	1	2

*This offense was committed in the same case as the offense of market manipulation or insider trading.

Offences/Year	2021						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	-	-
Presenting a false statement or concealing material facts that should have been stated	1	2	1,000,000.00	-	49,158.00	-	-
Unfair Securities Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	2	4	5,500,000.00	-	421,873.00	-	-
Market manipulation	2	16	127,690,670.00	-	-	2	5
Insider trading / Disclose inside information	3	15	44,522,750.36	31,807,149.07	1,171,993.07	-	-
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account*		-	-	-	-	-	-
Grand Total	8	37	178,713,420.36	31,807,149.07	1,643,024.07	2	5

*This offense was committed in the same case as the offense of market manipulation or insider trading.

Statistics of Civil Sanctions (As of 30 September 2023)

Offences/Year	2020						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	-	-
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	-	-
Unfair Securities Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-	-
Market manipulation*	1	1	500,000.00	-	-	-	-
Insider trading / Disclose inside information	4	9	35,081,833.50	27,761,360.00	769,441.98	1	3
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account**							
Grand Total	5	10	35,581,833.50	27,761,360.00	769,441.98	1	3

*A offender in JAS case signed a letter of consent on 6 January 2020.

**This offense was committed in the same case as the offense of market manipulation or insider trading.

Offences/Year	2019						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	-	-
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	-	-
Unfair Securities Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-	-
Market manipulation*	6	30	722,941,005.32	-	-	1	35
Insider trading / Disclose inside information**	5	18	79,988,918.54	56,040,458.00	965,972.99	-	-
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account***							
Grand Total	11	48	802,929,923.86	56,040,458.00	965,972.99	1	35

*In JAS case, there was one offender signed a letter of consent on 6 January 2020, therefore this number was counted in 2020 table.

**In TRUBB case, there was one offender committing both of insider trading and disclose inside information.

***This offense was committed in the same case as the offense of market manipulation or insider trading.

Offences/Year	2018						
	Signed a Letter of Consent					Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	A reimbursement of investigative expenses	Cases	Persons
Director of Company							
Fail to exercise duty of care	-	-	-	-	-	1	1
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	1	3
Unfair Securities Trading Activities							
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-	-
Market manipulation	3	33	293,908,776.76	-	-	7	73*
Insider trading	6	12	23,512,404.72	16,455,809.00	43,824.00	2	12
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account**		1	50,000.00	-	43,824.00	-	-
Grand Total	9	46	317,471,181.48	16,455,809.00	87,648.00	11	89

*The 74 total lawsuits show the number of cases filed against 23 respondents for each violation of manipulating the share prices of 6 securities (NEWS MILL POLAR NBC NINE and NINE-W1).

**This offense was committed in the same case as the offense of market manipulation or insider trading.

Statistics of Civil Sanctions (As of 30 September 2023)

Offences/Year	2017					
	Signed a Letter of Consent				Filing a lawsuit to the Civil Court	
	Cases	Persons	Civil Monetary Penalty	A compensation at an equal amount to the benefit received	Cases	Persons
Director of Company						
Fail to exercise duty of care	1	6	3,000,000.00	-	-	-
Presenting a false statement or concealing material facts that should have been stated	-	-	-	-	-	-
Unfair Securities Trading Activities						
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-
Market manipulation	1	4	3,135,871.25	-	-	-
Insider trading	7	15	28,137,069.62	19,613,700.00	1	2
allowing any person to use one's own securities trading account or banking account, or using any person's securities trading account or banking account*		-	-	-	-	-
Grand Total	9	25	34,272,940.87	19,613,700.00	1	2

*This offense was committed in the same case as the offense of market manipulation or insider trading.