

Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2024				2023			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			8	31			3	17
Fail to exercise duty of care			-	-			-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			2	7			-	-
Market manipulation			3	50			4	68
Insider trading / Disclose inside information			-	-			1	3
Front Running			1	2			-	-
Takeover	4	8	1	1	-	-	-	-
Securities Issuance								
Disclosure report	24	49	5	14	18	39	10	28
Report of securities holding of directors and executives	20	20	-	-	2	2	1	1
Non-compliance with securities offering	5	12	3	6	10	17	5	14
Others	3	7	1	3	4	8	-	-
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	1	7	-	-	-	-
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	22	31	6	9	9	14	3	3
Unlicensed securities businesses			2	2			-	-
Unlicensed derivatives businesses			-	-			-	-
Unlicensed digital asset businesses			1	2			1	2
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			1	1
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	78	127	34	134	43	80	29	137

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2022				2021			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			3	14			6	43
Fail to exercise duty of care			-	-			-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			1	1			-	-
Market manipulation			1	14			-	-
Insider trading / Disclose inside information			-	-			-	-
Front Running			-	-			-	-
Takeover	1	1	-	-	-	-	-	-
Securities Issuance								
Disclosure report	56	114	16	51	20	39	-	-
Report of securities holding of directors and executives	6	6	-	-	3	3	-	-
Non-compliance with securities offering	5	11	4	10	1	1	1	1
Others	23	48	1	6	3	6	-	-
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	1	2	-	-	-	-
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	20	38	3	3	8	9	1	1
Unlicensed securities businesses			-	-			1	3
Unlicensed derivatives businesses			-	-			-	-
Unlicensed digital asset businesses			1	2			1	1
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			1	2			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	111	218	32	105	35	58	10	49

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Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2020				2019			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			3	10			2	9
Fail to exercise duty of care			-	-			-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			-	-			1	4
Market manipulation			1	4			-	-
Insider trading / Disclose inside information			-	-			-	-
Front Running			-	-			-	-
Takeover	5	5	-	-	1	2	2	4
Securities Issuance								
Disclosure report	2	3	2	4	5	7	8	14
Report of securities holding of directors and executives	5	5	-	-	1	1	-	-
Non-compliance with securities offering	1	1	2	5	1	2	-	-
Others	-	-	-	-	1	1	1	4
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	-	-	-	-	1	2
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	11	13	-	-	5	5	2	4
Unlicensed securities businesses			1	1			-	-
Unlicensed derivatives businesses			-	-			-	-
Unlicensed digital asset businesses			-	-			1	2
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	24	27	9	24	14	18	18	43

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2018				2017			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			4	46			4	37
Fail to exercise duty of care			1	1			1	1
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			1	1			-	-
Market manipulation			-	-			-	-
Insider trading / Disclose inside information			-	-			-	-
Front Running			-	-			0	0
Takeover	8	14	1	1	5	12	-	-
Securities Issuance								
Disclosure report	5	10	5	9	33	67	15	29
Report of securities holding of directors and executives	4	4	1	2	5	5	-	-
Non-compliance with securities offering	2	4	1	2	-	-	-	-
Others	2	4	-	-	5	7	-	-
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	-	-				
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	7	10	-	-	9	13	-	-
Unlicensed securities businesses			2	12			-	-
Unlicensed derivatives businesses			3	11			1	2
Unlicensed digital asset businesses			-	-				
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	28	46	19	85	57	104	21	69

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2016				2015			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud	0	0	1	3	0	0	5	21
Fail to exercise duty of care	1	1	-	-	-	-	2	2
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information	3	3	-	-	1	1	-	-
Market manipulation	4	16	2	16	2	12	1	4
Insider trading / Disclose inside information	7	15	2	3	6	10	1	2
Front Running	0	0	0	0	0	0	0	0
Takeover	1	5	1	3	3	4	1	1
Securities Issuance								
Disclosure report	20	40	15	35	24	47	20	38
Report of securities holding of directors and executives	2	2	-	-	1	1	-	-
Non-compliance with securities offering	-	-	1	4	-	-	-	-
Others	2	10	-	-	-	-	-	-
Public offering of digital tokens								
Digital tokens offering without an approval								
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	19	20	-	-	14	14	-	-
Unlicensed securities businesses			5	17			2	8
Unlicensed derivatives businesses			-	-			1	3
Unlicensed digital asset businesses								
Director or person responsible for business operator fraud (including aider and abettor)			-	-			1	1
Others								
Giving false testimony to competent officer			-	-			1	1
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	59	112	27	81	51	89	35	81

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 31 December 2024)

Offences* /Year	2014				2013			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud	0	0	1	3	0	0	3	8
Fail to exercise duty of care	-	-	-	-	-	-	-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-	-	-	-	-
Market manipulation	6	35	3	23	-	-	2	13
Insider trading / Disclose inside information	5	13	-	-	4	10	1	1
Front Running	0	0	0	0	0	0	0	0
Takeover	3	3	-	-	4	8	1	1
Securities Issuance								
Disclosure report	34	67	34	70	26	43	36	70
Report of securities holding of directors and executives	1	1	-	-	1	1	-	-
Non-compliance with securities offering	-	-	-	-	-	-	-	-
Others	-	-	-	-	-	-	-	-
Public offering of digital tokens								
Digital tokens offering without an approval								
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	21	21	-	-	17	17	-	-
Unlicensed securities businesses			3	6			1	4
Unlicensed derivatives businesses			4	7			5	11
Unlicensed digital asset businesses								
Director or person responsible for business operator fraud (including aider and abettor)			-	-			3	7
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			2	3
Failure to uphold professional standards			-	-			-	-
Grand Total	70	140	45	109	52	79	54	118

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