

# Procedure for Civil Sanctions

Civil Sanction is imposed on an offender for these following offenses under SEA:

- (1) committing unfair practice regarding securities trading (e.g. market manipulation and insider trading);
- (2) presenting a false statement or concealing material facts that should have been stated;
- (3) failing to perform duties as director or executive
- (4) allowing any person to use one's own securities trading account or banking account for payment of securities trading, or using the securities trading account or the banking account of any person.

