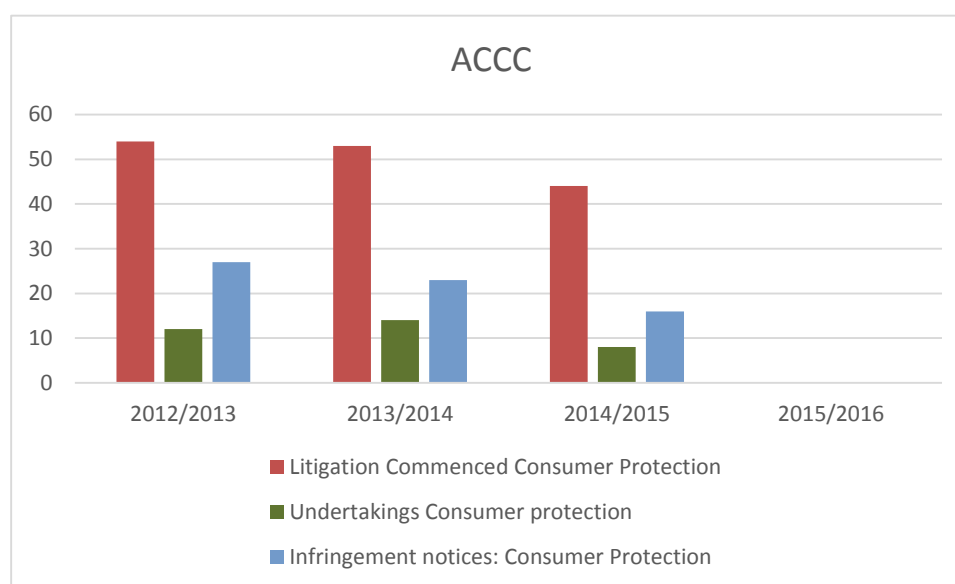


APPENDIX B: REGULATOR STATISTICS – COMPILED BY CONSUMER ACTION

1. Australian Competition & Consumer Commission (ACCC)

1.1 ACCC Enforcement Action: 2012/2013 - 2015/2016

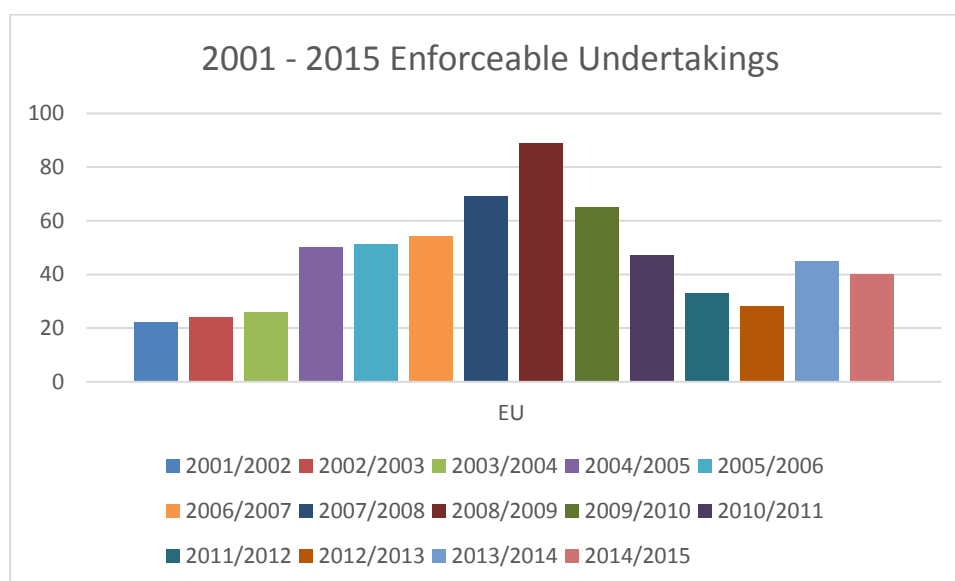
Financial Year		2012/2013	2013/2014	2014/2015	2015/2016
Litigation Commenced	Consumer Protection	54	53	44	?
	Small business	?	?	?	?
	Product Safety	?	?	?	?
	Subtotal	54	53	44	?
Undertakings	Consumer protection	12	14	8	?
Infringement notices:	Consumer Protection	27	23	16	?



2. Australian Securities & Investment Commission (ASIC)

2.1 - ASIC Enforcement Action: 2012/2013 - 2015/2016

Financial Year	2012 / 2013	2013/2014	2014/2015	2015/2016
Criminal Proceedings Finalised:	29 (13/16)	46 (27/19)	35 (22/13)	TBC (14/TBC)
Financial Services:	19 (10/9)	17 (12/5)	12 (7/5)	TBC (3/TBC)
Market Integrity:	15 (9/6)	14 (8/6)	12 (8/4)	TBC (7/TBC)
Corporate Governance:	4 (3/1)	15 (7/8)	11 (7/4)	TBC (4/TBC)
Civil Proceedings:	30 (17/13)	11 (5/6)	25 (14/11)	TBC (18/TBC)
Administrative Remedies:	70 (36/34)	79 (34/45)	124 (50/74)	TBC (96/TBC)
Enforceable Undertakings:	28 (13/15)	45 (24/19)	40 (22/18)	TBC (8/TBC)



2.2 - ASIC Investigations & Charges

Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Investigations commenced	N/A	N/A	230 (94/136)	TBC (105/TBC)
Investigations completed	N/A	N/A	231 (94/137)	TBC (86/TBC)
Persons charged (Crim)	N/A	N/A	24 (14/10)	TBC (6/TBC)
Charges laid (Crim)	N/A	N/A	255 (173/82)	TBC (42/TBC)
Infringement notices	N/A	N/A	77 (25/52)	TBC (20/TBC)
Infringement notices paid	N/A	N/A	\$1363100 (\$710,300/ \$652,800)	TBC (\$969,200/TBC)
Compensation/remediation	N/A	N/A	\$37012932 (\$24,964 275 \$12,048,657)	TBC (\$149m/TBC)
Civil penalty imposed	N/A	N/A	\$4907500 (\$3,010,000/ \$18,975,00)	TBC (N/A /TBC)

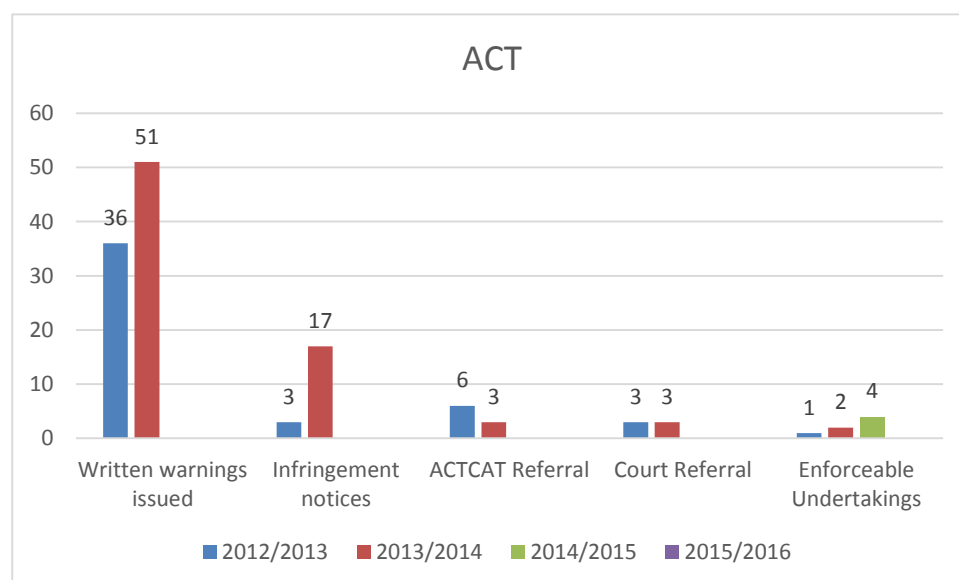
6. Australian Capital Territory – Access Canberra (ACTAC)

6.1 ACTAC Enforcement Action: 2012/2013 - 2015/2016

Consumer Action communicated with a representative from Access Canberra. Access Canberra is a regulatory body which took over the functions of the Office of Regulatory Services in 2014. The representative referred to Consumer Action to the Chief Minister, Treasury and Economic Development Directorate Annual Report for 2014-15 data.

However, the data in the report is limited and does not correspond with previous reports. Enforceable undertaking data is sourced from separate webpage.

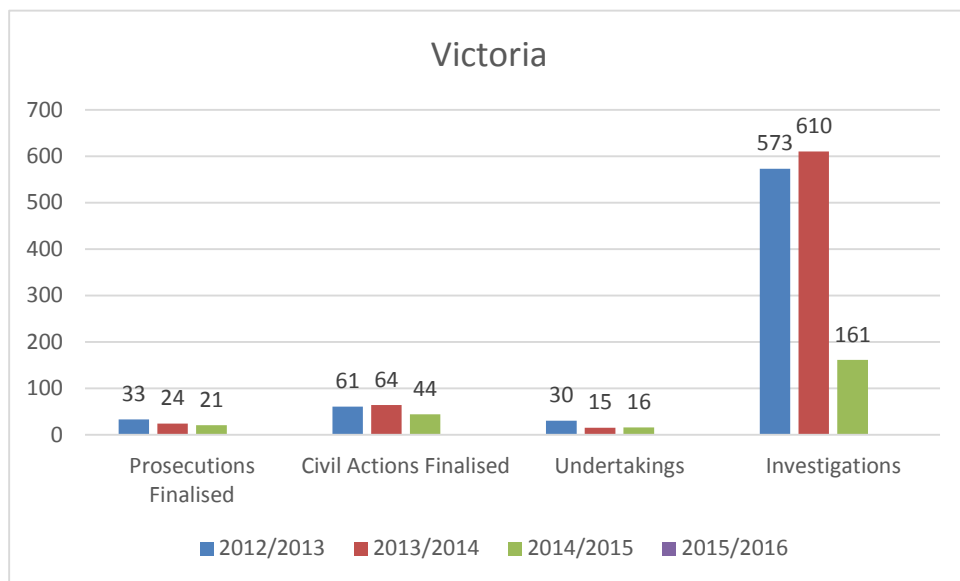
Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Written warnings issued	36	51	?	
Infringement notices	3	17	?	
ACTCAT Referral	6	3	?	
Court Referral	3	3	?	
Enforceable Undertakings	1	2	4	
Total Industry-Focused Inspections	3020	3329	3077	



4. Consumer Affairs Victoria (CAV)

4.1 - CAV Enforcement Action: 2012/2013 - 2015/2016

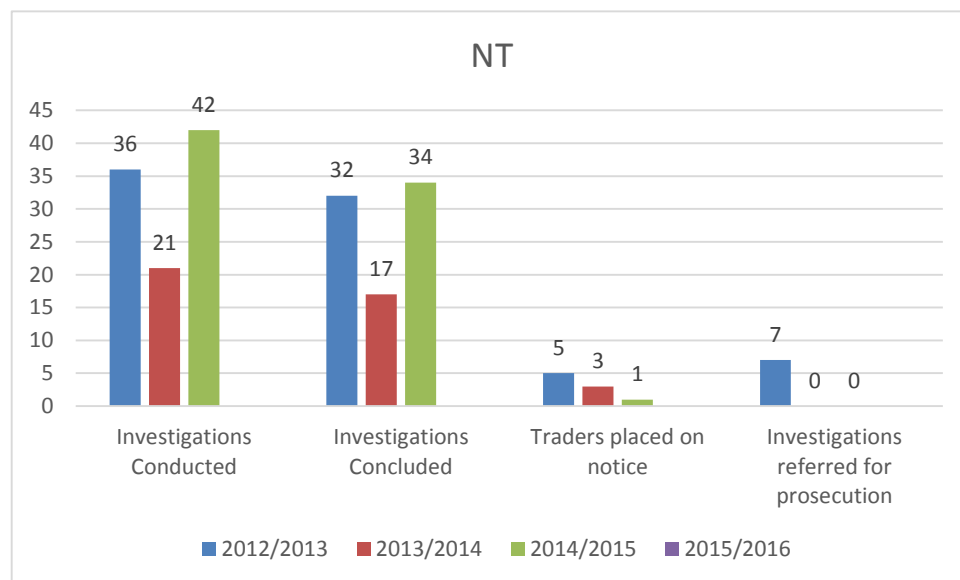
Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Prosecutions Finalised:	33	24	21	Not released
Civil Actions Finalised:	61	64	44	TBC
Undertakings:	30	15	16	TBC
Fines & Consent Orders	\$281,828	Not published	Not published	TBC
Court Fund/VCAT Penalties	\$11,300	Not published	Not published	TBC
Investigations	573	610	161	TBC



9. Northern Territory Consumer Affairs (NTCA)

9.1 NTCA Enforcement Action: 2012/2013 - 2015/2016

Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Investigations conducted	36	21	42	N/A
Investigations concluded	32	17	34	N/A
Traders placed on notice:	5	3	1	N/A
Investigations referred for prosecution:	7	0	0	N/A



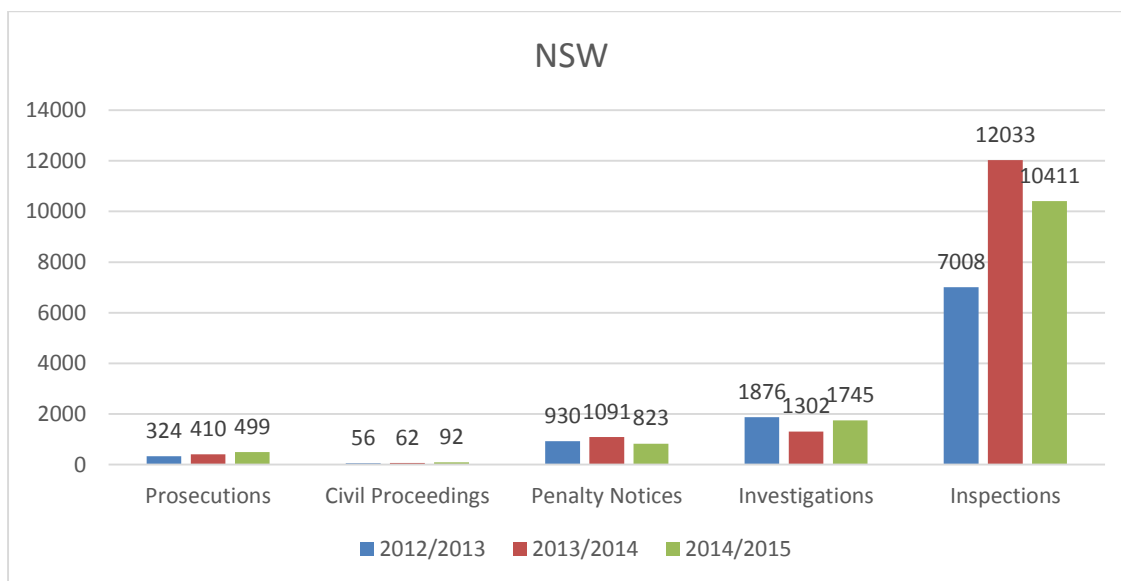
3. New South Wales Fair Trading (NSWFT)

3.1 NSWFT Enforcement Action: 2012/2013 - 2015/2016

The data for NSW Fair Trading can be found in the NSW Fair Trading Year in Review reports. However, the data on enforceable undertakings is divided into quarterly reports divided by action taken under individual acts, rather than providing a summary.

Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Prosecutions	324	410	499	Not released
Civil Proceedings	56	62	92	
Undertakings	-	-	-	
Penalty Notices	930	1091	823	
Investigations	1876	1302	1,745	
Inspections	7008	12,033	10,411	

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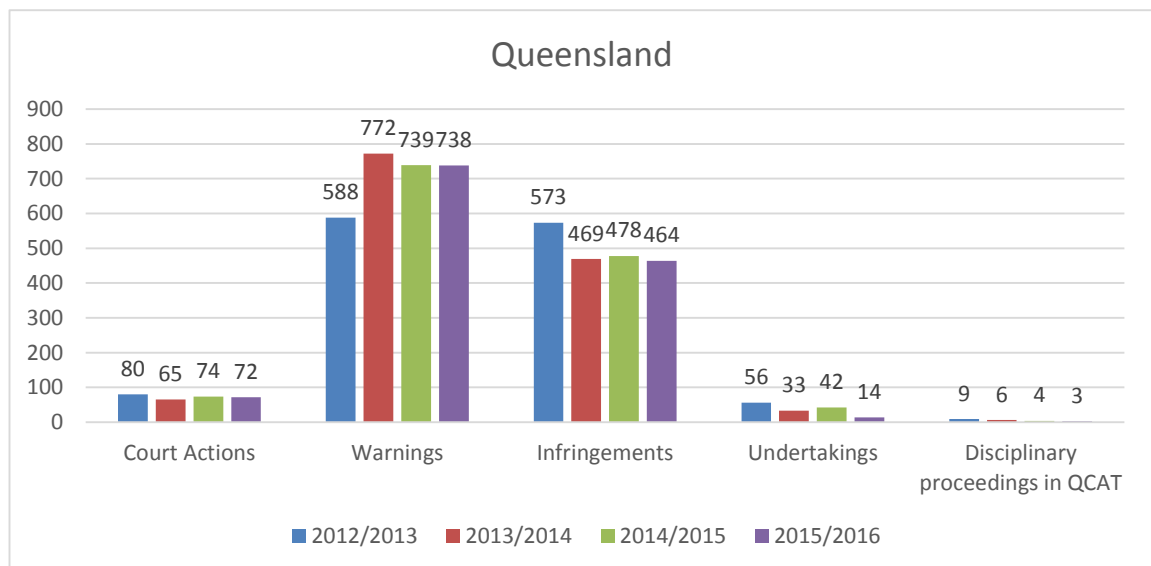


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5. Queensland Office of Fair Trading (QLD OFT)

5.1 QLD OFT Enforcement Action: 2012/2013 - 2015/2016

Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
'Court actions'	80	65	74	72
Warnings	588	772	739	738
Infringements	573	469	478	464
Undertakings	56	33	42	14
Disciplinary proceedings in QCAT	9	6	4	3



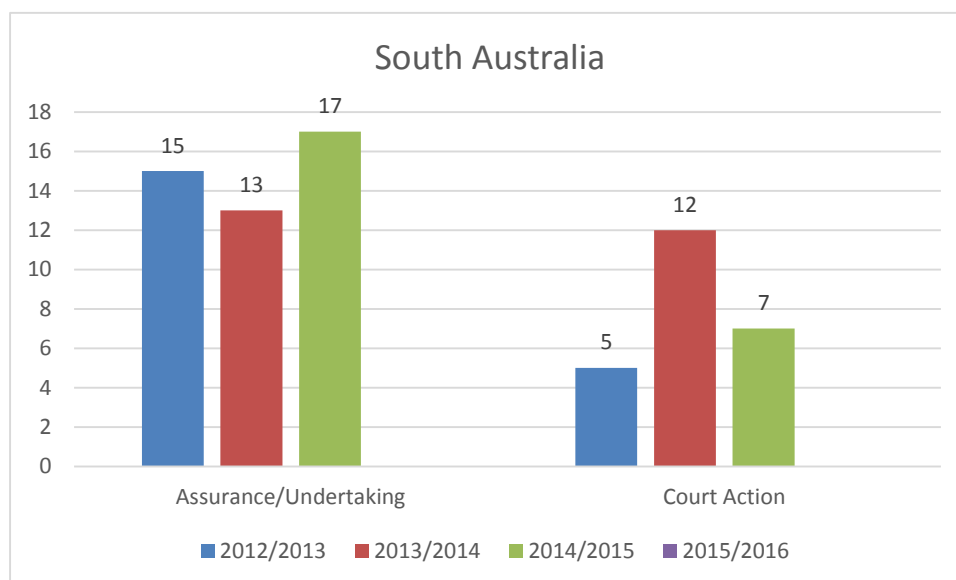
10. South Australian Office of Consumer and Business Affairs (SAOCBA)

10.1 SAOCBA Enforcement Action: 2012/2013 - 2015/2016

The South Australian Consumer and Business Services publishes Annual Reports, in which data can be found in the appendices in relation to assurances, undertakings and court actions (Appendix 15 in the 2012-2013 Report, Appendix 14 in the 2013-2014 Report, Appendix 11 in the 2014-2015 Report).

Unfortunately, aside from in 2013-2014, the reports do not sufficiently distinguish between these actions.

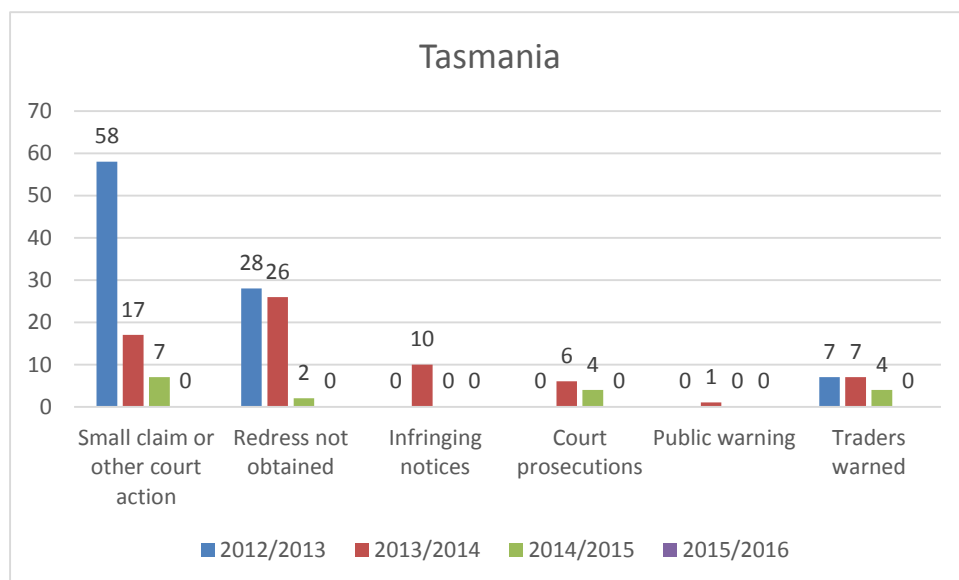
Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Assurance/Undertaking	15	10/3	17	
Court Action	5	12	7	



7. Tasmanian Consumer Affairs and Fair Trading (TASCRAFT)

7.1 TASCRAFT Enforcement Action 2012/2013 - 2015/2016

Financial year:	2012/2013	2013/2014	2014/2015	2015/2016
Small claim or other court action	58	17	7	Not released
Redress not obtained:	28	26	2	Not released
Infringing notices:	No data	10	0	Not released
Court prosecutions:	No data	6	4	Not released
Public warnings	No data	1	0	Not released
Traders warned	7	7	4	Not released



8. Western Australian Department of Commerce - Consumer Protection Division (WACPD)

8.1 WACPD Enforcement Action: 2012/2013 2015/2016

The WACPD provides great detail on efficiency in their annual reports (i.e. the cost of inspections and how they relate to targets and consumer confidence). Some enforcement information, difficult to find as pending and completed actions are provided in the same count, but not distinguished.

Financial Year	2012/2013	2013/2014	2014/2015	2015/2016
Prosecutions:				
- HC/Fed/Sc/ScA	15	24	21	
- Mag Court	36	52	53	
- Admin/Tribunal	13	20	37	
No data on outcome.				
Enforceable Undertaking	4	8	5	

