INDUSTRY CASES

Cases Opened Per Fiscal Year and Pending EOY

- **2014**: 353
- **2015**: 285
- **2016**: 345
- **2017**: 325
- **2018**: 363
- **2019**: 322
- **2020**: 258
- **2021**: 254

**Graph Details**
- **Pending EOY**
- **Opened**

**Timeline**: 2014 to 2021
INDUSTRY CASES

Source by Fiscal Year

- **Total**
- **Self Disclosure**
- **PC Monitoring**
- **Complaint by Public**
- **Complaint by CFA Member or Staff**

Year-wise Breakdown:
- **2014**
  - Total: 256
  - Self Disclosure: 212
  - PC Monitoring: 7
  - Complaint by Public: 23
  - Complaint by CFA Member or Staff: 14
- **2015**
  - Total: 345
  - Self Disclosure: 171
  - PC Monitoring: 22
  - Complaint by Public: 20
  - Complaint by CFA Member or Staff: 23
- **2016**
  - Total: 363
  - Self Disclosure: 150
  - PC Monitoring: 60
  - Complaint by Public: 58
  - Complaint by CFA Member or Staff: 77
- **2017**
  - Total: 325
  - Self Disclosure: 199
  - PC Monitoring: 54
  - Complaint by Public: 33
  - Complaint by CFA Member or Staff: 54
- **2018**
  - Total: 321
  - Self Disclosure: 156
  - PC Monitoring: 75
  - Complaint by Public: 48
  - Complaint by CFA Member or Staff: 76
- **2019**
  - Total: 257
  - Self Disclosure: 143
  - PC Monitoring: 60
  - Complaint by Public: 48
  - Complaint by CFA Member or Staff: 70
- **2020**
  - Total: 257
  - Self Disclosure: 129
  - PC Monitoring: 54
  - Complaint by Public: 21
  - Complaint by CFA Member or Staff: 53
- **2021**
  - Total: 172
  - Self Disclosure: 85
  - PC Monitoring: 35
  - Complaint by Public: 21
  - Complaint by CFA Member or Staff: 31

Fiscal Years: 2014-2021
INDUSTRY CASES

Closed by Fiscal Year

- 2014: 235 cases
- 2015: 304 cases
- 2016: 298 cases
- 2017: 387 cases
- 2018: 373 cases
- 2019: 291 cases
- 2020: 263 cases
- 2021: 171 cases

Legend:
- Revocation
- Permanently Resigned
- Summary Suspension
- Prohibition from CFA Program
- Timed Suspension
- Censure
- Private Reprimand
- Cautionary Letter
- No Disciplinary Action