

Appendix 2 Overview of insider short-swing transaction disgorgement cases

Case Year \ Category	Total No. of Cases	Amount Collectible	Total Cases Closed	Funds Disgorged	No. of Unsettled Cases	Expedited Cases	Legal Proceedings Initiated	Request for Reconsideration	Number of Cases Settled, Q2'2018	Total Funds Settled, Q2'2018	Number of Cases Settled in 2018 up to Q2	Total Funds Settled in 2018 up to Q2
1994H2	84	80,270,024	84	77,717,537	0	0	0	0	0	0	0	0
1995H1	57	20,495,283	57	18,659,741	0	0	0	0	0	0	0	0
1995H2	129	63,325,559	129	54,518,849	0	0	0	0	0	0	0	0
1996H1	117	107,710,560	117	108,273,342	0	0	0	0	0	0	0	0
1996H2	98	64,898,557	98	45,031,101	0	0	0	0	0	0	0	0
1997H1	228	118,576,472	228	95,685,050	0	0	0	0	0	0	0	0
1997H2	192	147,126,764	192	73,396,806	0	0	0	0	0	0	0	0
1998H1	176	826,821,959	176	71,959,757	0	0	0	0	0	0	0	0
1998H2	177	159,294,237	177	39,336,860	0	0	0	0	0	0	0	0
1999H1	205	117,010,423	205	116,991,611	0	0	0	0	0	0	0	0
1999H2	211	107,650,778	211	71,889,755	0	0	0	0	0	0	0	0
2000H1	245	130,138,611	245	98,212,117	0	0	0	0	0	0	0	0
2000H2	196	103,238,355	196	86,983,461	0	0	0	0	0	0	0	0
2001H1	174	31,406,328	174	29,676,038	0	0	0	0	0	0	0	0
2001H2	147	52,568,653	147	52,536,780	0	0	0	0	0	0	0	0
2002H1	199	83,614,103	199	82,224,588	0	0	0	0	0	0	0	0
2002H2	152	22,839,593	152	22,839,593	0	0	0	0	0	0	0	0
2003H1	174	13,318,701	174	13,318,701	0	0	0	0	0	0	0	0
2003H2	328	38,155,725	328	37,716,964	0	0	0	0	0	0	0	0
2004H1	418	51,208,992	418	50,484,927	0	0	0	0	0	0	0	0
2004H2	217	36,288,868	216	32,957,884	1	0	1	0	0	200,000	0	200,000
2005H1	175	22,761,464	175	22,761,464	0	0	0	0	0	0	0	0
2005H2	185	34,611,647	185	34,611,647	0	0	0	0	0	0	0	0
2006H1	146	52,025,132	146	52,025,132	0	0	0	0	0	0	0	0

CORPORATE GOVERNANCE IN TAIWAN

Case Year \ Category	Total No. of Cases	Amount Collectible	Total Cases Closed	Funds Disbursed	No. of Unsettled Cases	Expedited Cases	Legal Proceedings Initiated	Request for Reconsideration	Number of Cases Settled, Q2/2018	Total Funds Settled, Q2/2018	Number of Cases Settled in 2018 up to Q2	Total Funds Settled in 2018 up to Q2
2006H2	179	135,934,128	179	132,517,740	0	0	0	0	0	0	0	0
2007H1	208	61,118,071	208	61,079,199	0	0	0	0	0	0	0	0
2007H2	183	48,118,041	182	46,463,357	1	0	1	0	0	0	0	0
2008H1	194	48,240,524	193	48,233,169	1	0	1	0	0	0	0	0
2008H2	144	38,480,353	143	36,756,370	1	0	1	0	0	0	0	0
2009H1	151	27,580,261	150	27,565,472	1	0	1	0	0	0	0	0
2009H2	162	74,573,302	162	74,573,302	0	0	0	0	0	0	0	0
2010H1	164	66,515,440	164	66,515,440	0	0	0	0	0	0	0	0
2010H2	154	32,266,863	154	32,266,863	0	0	0	0	0	0	0	0
2011H1	155	34,195,685	155	34,195,685	0	0	0	0	0	0	0	0
2011H2	136	51,886,978	136	51,886,978	0	0	0	0	0	0	0	0
2012H1	114	19,520,853	114	19,520,853	0	0	0	0	0	0	0	0
2012H2	100	16,180,352	100	16,180,352	0	0	0	0	0	0	0	0
2013H1	125	16,195,182	125	15,781,271	0	0	0	0	0	0	0	0
2013H2	163	50,950,570	163	39,284,951	0	0	0	0	0	0	0	0
2014H1	144	43,184,614	144	43,184,614	0	0	0	0	0	0	0	0
2014H2	135	15,313,898	135	15,313,898	0	0	0	0	0	0	0	0
2015H1	132	16,054,947	132	16,054,947	0	0	0	0	0	0	0	0
2015H2	127	58,102,598	127	58,102,598	0	0	0	0	0	0	0	0
2016H1	86	129,944,954	85	118,912,059	1	0	1	0	0	0	0	0
2016H2	80	36,484,408	80	36,484,408	0	0	0	0	0	0	0	0
2017H1	127	14,470,984	126	14,383,886	1	1	0	0	0	0	126	14,383,886
2017H2	138	22,403,671	10	172,964	128	128	0	0	10	172,964	10	172,964
Total	7,731	3,543,073,465	7,596	2,395,240,081	135	129	6	0	10	372,964	136	14,756,850

Source: Securities and Futures Investors Protection Center