

NAFMII Disciplinary Actions in 2020

Disciplinary Actions Types of Institutions	Admonitory Interview	Public Criticism	Warning	Serious Warning	Public Condemnation	Number in Total
Issuers and Credit Enhancement Agencies	4	1	1	4	2	12
Lead Underwriters	2	-	4	-	-	6
Other types of Intermediaries	-	-	4	-	-	4
Individuals	6	4	16	7	2	35
Number in Total	12	5	25	11	4	57