ANTITRUST DIVISION
WORKLOAD STATISTICS
FY 2006 – 2015

INVESTIGATIONS

Total Investigations Initiated, by Primary Type of Conduct[1]	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Sherman §1 - Restraint of Trade[2]	87	69	66	70	46	47	31	25	31	39
Sherman §2 - Monopoly	3	1	0	4	2	2	2	2	0	3
Clayton §7 - Mergers	96	101	84	68	64	90	74	65	80	67
Others[3]	14*	15	21*	21*	3*	3	0*	0	2	2

Business Reviews	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Requested	6	9	8	3	9	1	3	3	3	1
Closed	10	6	6	9	7	3	7	5	0	2
• Granted	4	5	2	5	5	1	1	3	0	2

[1] Statistics reflect only the primary type of conduct under investigation at the outset of the investigation; this report does not reflect whether a matter investigated a potential violation of an additional statute(s), or whether the primary violation changed during the pendency of the investigation. See "District Court Antitrust Cases" for numbers of cases by offense. Does not include business reviews, judgment modification or termination investigations, or premerger notifications, but includes investigations initiated as a result of premerger notifications.

[2] This category reflects both civil and criminal investigations.

[3] This category includes investigations of potential violations of Clayton §§ 3, 7A, and 8, the Robinson-Patman Act, and Title 18, among other statutes.

* Value has been restated from its previously reported value to be consistent with the definitions outlined in the footnotes to this report.

• Denied	0	0	0	0	0	0	0	0	0	0
• Declined	0	0	0	1	1	1	0	2	0	0
• Withdrawn	6	1	4	3	1	1	6	0	0	0
Pending	7	10	12	6	8	6	2	0	3	2

Hart-Scott-Rodino (HSR) Premerger Notifications	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Received	1,768	2,201	1,726	716	1,166	1,450	1,429	1,326	1,663	1,801
HSR Investigations Initiated	77	82	70	49	55	72	61	50	67	55
Number of Cases Filed	10	2	14	6	8	11	7	5	5	10

Total Preliminary Inquiries: Criminal, Civil Non-Merger, and Merger	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Initiated[4]	172	157	147	138	109	128	96*	81	100	98
Matters that exited the Preliminary Inquiry Phase	189	146	146	150	133	152	101	100	94	99
Pending	108	119	120	108	84	60	55*	36*	42*	41

CIDs Issued	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Total number	376	527	355	510	480	476	474	338	331	515

[4] Every investigation, with the exception of certain criminal matters that open as grand jury investigations, opens as a preliminary inquiry. Matters exit the preliminary inquiry phase by closing; in the case of criminal preliminary inquiries, becoming grand jury investigations; or in the case of civil preliminary inquiries, through the issuance of Civil Investigative Demands. This category only addresses investigations in the civil or criminal preliminary inquiry stage. Investigations opened with the purpose of exploring judgment modification or termination are not included here in the total number of preliminary inquiries initiated. Such judgment modification/termination investigations are addressed separately under the Judgment Enforcement sections.

Documentary	11	55	65	59	58	98	47	28	19	40
Interrogatory[5]	1	0	1	7	2	3	16	18	10	60
Oral	131	150	125	132	89	99	130	98	80	217
Documentary/Interrogatory[6]	231	318	157	302	326	275	279	176	221	198
Oral/Documentary[7]	2	4	7	10	5	1	2	18	1	0

CIVIL INVESTIGATIONS

Merger Investigations	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Total Number (HSR and Non-HSR Investigations)	96	101	84	68	64	90	74	65	80	67
HSR Investigations	77	82	70	49	55	72	61	50	67	55
• HSR Investigations: Second Requests	17	32	20	16	22	31	29	22	21	27
Non-HSR Investigations	19	19	14	19	9	18	13	15	13	12
• Non-HSR Investigations: CIDs Issued	5	1	2	9	6	6	8	4	5	5
Merger CIDs Issued	276	395	205	263	344	328	350	270	299	447

Non-Merger Investigations	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Total Number	35	14	24	33	26	17	8*	10	8	15
• Non-Merger Investigations: CIDs Issued	16	12	11	20	12	9	7	5	6	9

[5] Prior to FY 2015, Civil Investigative Demands for interrogatory responses were labeled "written."

[6] Combined documentary and written CIDs served to one person, corporation, partnership or legal entity.

[7] Combined oral and documentary CIDs served to one person, corporation, partnership or legal entity. Statistic is only available from FY 2005.

Non-Merger CIDs Issued	100	132	150	247	136	148	124	68	32	68

Civil Investigation Results	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Merger Investigations: Total Number of Public Challenges	16	12	16	12	19[8]	20	19	15	16	20
• Actions Filed in District Court[9]	10	4	15	7	10	13	8	7	7	10
• Transactions Restructured or Abandoned Prior to Filing a Complaint as Result of an Announced Challenge	6	8	1	5	8	7	11	8	9	10
Non-Merger Investigations: Actions Filed in District Court	2	2	4	2	4	5	5	5	1	4

CRIMINAL INVESTIGATIONS AND CASES

Grand Jury Investigations	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Initiated	38	34	32	38	12	17	12	13	16	21
Terminated	42	22	30	31	32	66	24	14	11	16
Pending	123	135	137	144	124	75	63	62	67	72

Criminal Cases Filed	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Total Cases Filed	34	40	54	72	60	90	67	50	45	60
Individuals Charged	37	47	59	65	63	82	63	34	44	66
Corporations Charged	24	10	25	22	21	27	16	21	18	20

[8] One action filed in District Court challenged two separate mergers, resulting in 19 merger challenges.

[9] These statistics are the same as those reported under "District Court Antitrust Cases - Merger Cases Filed" on page 6.

DISTRICT COURT ANTITRUST CASES[10]

TOTAL CIVIL CASES	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	12	6	19	9	14	18	13	12	8	14
Terminated[11]	20	9	11	16	11	11	20	10	12	15
• Won	17	9	11	16	11	11	20	10	12	15
• Lost	2	0	0	0	0	0	0	0	0	0
• Dismissed	1	0	0	0	0	0	0	0	0	0
Pending	16	13	21	14	17	24	17	19	15	14

RESTRAINT OF TRADE - CIVIL (SHERMAN §1)	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	1	1	2	0	3	4	3	3	0	2
Terminated	9	1	2	1	1	1	2	3	5	2
• Won	8	1	2	1	1	1	2	3	5	2
• Lost	1	0	0	0	0	0	0	0	0	0
• Dismissed	0	0	0	0	0	0	0	0	0	0

MONOPOLY - CIVIL (SHERMAN §2)	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	0	0	0	0	0	1	0	0	0	0

[10] The category of Damage Actions – Civil was removed from the FY 2014 Workload Statistics Report.

[11] Figures are computed using the closing date of the case.

Terminated	0	1	0	0	0	0	2	0	0	0
• Won	0	1	0	0	0	0	2	0	0	0
• Lost	0	0	0	0	0	0	0	0	0	0
• Dismissed	0	0	0	0	0	0	0	0	0	0

MERGER CASES (CLAYTON §7)	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	10	4	15	7	10	13	8	7	7	10
Terminated	6	6	8	15	9	10	12	7	5	11
• Won	5	6	8	15	9	10	12	7	5	11
• Lost	1	0	0	0	0	0	0	0	0	0
• Dismissed	0	0	0	0	0	0	0	0	0	0

OTHER CIVIL	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	1	1	2	2	1	0	2	2	1	2
Terminated	5	1	1	0	1	0	4	0	2	2
• Won	4	1	1	0	1	0	4	0	2	2
• Lost	0	0	0	0	0	0	0	0	0	0
• Dismissed	1	0	0	0	0	0	0	0	0	0

TOTAL CRIMINAL CASES	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	34	40	54	72	60	90	67	50	45	60
Won	31	31	47	67	41	62	95	40	54	45
Lost	0	1	4	2	1	2	3	0	1	1
Pending	44	54	57	60	55	77	45	54	45	59
Appeal Decisions	5	1	4	2	7	6	5	1	4	5

RESTRAINT OF TRADE - CRIMINAL (SHERMAN §1)	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	21	25	26	37	41	63	58	45	37	54
Won	20	19	25	29	28	37	82	37	45	40
Lost	0	1	3	2	0	0	0	0	0	1
Pending[12]	36	41	39	45	42	69	43	50	42	55

OTHER CRIMINAL CASES Charging Primarily Other Federal Crimes such as Perjury, Mail Fraud, Contempt, Obstruction of Justice, or False Statements	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	13	15	28	35	19	27	9	5	8	6
Won	11	12	22	38	13	25	13	3	9	5
Lost	0	0	1	0	1	2	3	0	1	0
Pending[13]	10	13	18	15	13	8	2	4	3	4

[12] This represents the number of Cases pending identifiable as a case with a Sherman Act – Restraint of Trade violation. This updated information is as of FY 2010, and replaces the method previously used. A pending case is defined as a case whereby no defendant in a case has entered a plea of guilty or has been found guilty at trial.

[13] This represents the number of Cases pending identifiable as charging primarily other federal crimes such as perjury, mail fraud, contempt, obstruction of justice, false statements or other charges that are not Sherman Act – Restraint of Trade violations. This updated information is as of FY 2010, and replaces the method previously used. A pending case is defined as a case whereby no defendant in a case has entered a plea of guilty or has been found guilty at trial.

APPELLATE CASES

ANTITRUST DIVISION CASES COURT OF APPEALS	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	0	2	6	1	4	9	5	5	10	1
Terminated	7	1	6	3	8	3	6	0	6	8
• Won	7	1	6	3	8	3	5	0	5	6
• Lost	0	0	0	0	0	0	1	0	1	2

ANTITRUST DIVISION CASES SUPREME COURT CERT PETITIONS[14]	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Filed	2	0	0	0	2	3	1	0	0	1
Terminated	0	2	0	3	2	3	0	1	0	1
• Won	0	2	0	3	2	3	0	1	0	1
• Lost	0	0	0	0	0	0	0	0	0	0

ANTITRUST DIVISION CASES SUPREME COURT MERITS CASES[15]	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015

[14] Cert Petitions is added to the heading for FY 15 Workload Statistics which reflects petitions for certiorari filed in the United States Supreme Court arising from a Division enforcement action. The Appellate Section is notified of all Supreme Court cases that involve the Division and works with the Solicitor General in drafting pleadings for submission to the Court.

[15] This is a new section added to FY 15 Workload Statistics Report which reflects appeals before the United States Supreme Court on the merits arising from a Division enforcement action.

Granted	0	0	0	0	0	0	0	0	0	0
Terminated	0	0	0	0	0	0	0	0	0	0
• Won	0	0	0	0	0	0	0	0	0	0
• Lost	0	0	0	0	0	0	0	0	0	0

AMICUS CASES COURT OF APPEALS	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	1	1	0	2	2	4	0	5	0	1
Terminated	1	0	0	2	2	1	0	0	3	2
• Primary DOJ Position Accepted	1	0	0	2	1	0	0	0	3	2
• Primary DOJ Position Not Accepted	0	0	0	0	1	1	0	0	0	0

AMICUS CASES SUPREME COURT	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	4	4	2	2	0	0	0	1	0	0
Terminated	5	5	0	1	1	0	0	1	0	0
• Primary DOJ Position Accepted	5	4	0	1	1	0	0	0	0	0
• Primary DOJ Position Not Accepted	0	1	0	0	0	0	0	1	0	0

OTHER AGENCIES' CASES (ADMINISTRATIVE LAW CASES) COURT OF APPEALS	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	59	65	128	58	29	21	28	15	19	33
Terminated	34	27	59	44	19	16	7	14	6	14
• Won	17	14	16	24	8	11	5	9	6	12

• Lost	3	3	2	8	4	1	0	2	0	2
• Dismissed	14	10	11	12	7	4	2	3	6	0

OTHER AGENCIES' CASES SUPREME COURT	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Filed	0	0	1	0	0	0	0	0	1	0
Terminated	1	0	0	0	0	0	0	0	0	0
• Won	1	0	0	0	0	0	0	0	0	0
• Lost	0	0	0	0	0	0	0	0	0	0

JUDGMENT ENFORCEMENT

JUDGMENT ENFORCEMENT	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Divestitures	8	3	15	6	9	8	7	4	9	9
Decrees Modified/Terminated	1	2	4	3	2	1	0	3	1	0
Contempt Cases	2	1	2	1	0	0	0	1	0	0

JUDGMENT ENFORCEMENT: Modification/Termination Investigations[16]	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Initiated	4	0	3	1*	4	0	0	0	1	0
Terminated	15*	1	5	2*	2	0	1	0	0	1
Pending	5	4	2	1	3	3	2	2	3	2

[16] These are investigations to determine whether a judgment should be modified or terminated.

CASE RESULTS[17]

FINES IMPOSED[18]	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Individual: Total Individual Fines ($000)	3,650	15,109	1,485	605	4,373	1,522	2,141	3,069	2,016	369
Number of Individuals Fined	17	25	23	27	19	25	31	29	24	15
Corporate: Total Corporate Fines ($000)	469,805	615,671	695,042	973,740	338,645	380,032	1,472,968	272,214	1,904,714	985,706
Number of Corporations Fined	18	12	12	16	11	11	33	24	25	15
Total Fines Imposed ($000)	473,455	630,780	696,527	974,345	343,017	381,554	1,475,109	275,283	1,906,730	986,075

OTHER CASE RESULTS	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Restitution Imposed in Connection with Criminal Cases[19] ($000)	2,165	4,790	5,226	17,060	24,271	6,377	3,297	6,883	1,650	1,310
Number of Defendants	7	23	8	22	18	25	28	17	10	7
HSR Penalties ($000)	2,150	250	1,650	2,200	900	0	500	2,050	896	3,800

[17] Dollar figures are amounts imposed during the fiscal year.

[18] "Fines imposed" are the total of criminal fines imposed by courts in judgments against defendants in Antitrust Division prosecutions. These totals do not include fines "agreed to" by defendants in plea agreements during the fiscal year but not yet imposed by the court. The Department tracks separately fine collection totals, see http://www.justice.gov/atr/public/press_releases/2015/311240.htm, which include all fines, court costs, and other fees that have been paid in satisfaction of judgments in Antitrust Division prosecutions, and which may differ from fines imposed or agreed to due to the use of payment plans.

[19] Frequently restitution is not sought in criminal antitrust cases, as damages are obtained through treble damage actions filed by the victims.

Number of Corporations	1	0	2	2	1	0	0	2	1	2
Number of Individuals	1	1	0	1	0	0	1	1	0	0
Disgorgements ($000)[20]	0	0	0	0	0	12,000	4,800	0	0	1,150
Civil Contempt Settlements ($000)[21]	935	125	2,580^	2,050	0	0	0	400^	0	0

CONFINEMENT

INCARCERATION	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Number of Individuals Sentenced	28	39	31	44	37	39	55	39	35	15
Number of Individuals Sentenced to Incarceration Time	19	34	19	35	29	21	45	28	21	12
Average Number of Days of Incarceration[22]	283	923	754	726	898	502	747	750	787	402

OTHER CONFINEMENT[23]	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**

[20] This is a new statistic as of the FY 2014 Workload Statistics Report. Disgorgements represent the total dollar amount paid by defendants to the government as equitable relief to prevent unjust enrichment from violating the antitrust laws.

[21] This is a new statistic as of the FY 2014 Workload Statistics Report. Civil Contempt Settlements represent the total dollar amount paid by defendants to the government to settle consent decree violations and may include the full costs of investigation related to consent decree violations. The settlement, in some cases, may also include disgorgement payments.

^ Value includes civil contempt cases where the payment included disgorgement of profits from the alleged violations.

[22] This is a new statistic as of the FY 2014 Workload Statistics Report.

Individuals Sentenced to Other Confinement	13	5	11	9	6	12	4	5	7	2
Average Number of Days of Other Confinement[24]	212	217	186	244	216	173	135	162	181	180

GENERAL ANTITRUST ACTIVITIES

PARTICIPATION IN BANK MERGER PROCEEDINGS	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Total Screenings	1,048	1,030	656	463	379	428	519	511	544	595
Screenings Requiring Competitive Analysis[25]	592	737	511	342	294	341	519	511	544	595

INTERNATIONAL ANTITRUST ACTIVITY	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Notifications to Foreign Governments and International Organizations	108	126	118	77	35	38	41	25	65	53
Representation at and Negotiations with Foreign Governments and International	70	44	41	50	30	41	37	35	36	42

[23] Includes house arrest or confinement to a halfway house or community treatment center.

[24] This is a new statistic as of the FY 2014 Workload Statistics Report.

[25] As of FY 2012, the Division's practice is to conduct a competitive analysis of all bank merger applications forwarded to the Division for review, and not to draw a distinction between transactions that require competitive screening and transactions that may be competitively neutral. Previously, applications involving formations of bank holding companies did not receive the same competitive analysis and were treated separately in the workload statistics.

Organizations										
Applications for Export Trade Certificates	6	10	14	6	11	6	7	10	6	8
Certificates Issued	6	8	15	5	10	5	7	8	7	7

FILINGS IN REGULATORY AGENCY PROCEEDINGS	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
Department of Transportation	1	0	0	1	1	0	0	1	0	0
Federal Energy Regulatory Commission	0	1	0	0	0	0	0	0	0	0
Securities and Exchange Commission	0	0	0	0	1	1	0	0	0	0
Federal Communications Commission	3	1	0	0	1	1	0	1	2	0
Federal Maritime Commission	1	0	0	0	2	0	1	0	0	0
Interstate Commerce Commission	0	0	0	0	0	0	0	0	0	0
Other	1	1	1	4	3	1	0	0	0	0
Total	6	3	1	5	8	3	1	2	2	0

OTHER DIVISION ACTIVITIES[26]	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**
4F Requests[27]	0	2	1	0	1	0	0	1	1	0
Advice on Surplus Property	3	5	4	0	4	0	3	2	5	3
Congressional Appearances	2	3	2	5	5	1	2	2	3	1
Congressional/OMB Requests for	512	395	571	311	332	59	232	328	265	311

[26] The category of Meetings of Interagency Task Forces/Committees was removed from the FY 2014 Workload Statistics Report.

[27] The number of requests to the Chief of the FOIA/Privacy Act Unit from state attorneys general for access to investigative files or other Division material pursuant to Section 4F(b) of the Clayton Act, 15 U.S.C. § 15f(b).

Comments										
White House Correspondence[28]	3	0	1	0	2	2	1	1	1	0
Congressional Correspondence	92	82	90	117	71	78	130	81	69	41
Statutory Reports	56	77	63	40	74	95	73	84	83	94
Joint Research & Development Filings	19	19	28	22	20	12	21	11	16	32
FOIA Requests	103	85	101	98	86	80	137	117	102	121
Privacy Act Requests	9	10	8	11	12	11	9	9	6	7

[28] This is a new statistic as of the FY 2015 Workload Statistics Report. White House Correspondence is defined as the number of letters referred to the Division by the White House for response.