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Violation Tracker Parent Company Summary

Parent Company Name: BlackRock**Ownership Structure:** publicly traded (ticker symbol BLK)**Headquartered in:** New York**Major Industry:** financial services**Specific Industry:** financial services**Penalty total since 2000:** \$15,765,350**Number of records:** 5

Top 10 Primary Offense Types	Penalty Total	Number of Records
investor protection violation	\$13,500,000	2
securities issuance or trading violation	\$1,925,350	2
financial institution supervision failures	\$340,000	1

Notes:

Parent-subsidiary linkages are based on relationships current as of the latest revision listed in the [Update Log](#), which may vary from what was the case when a violation occurred. The penalty dollar total above may be adjusted to account for the fact that the list of entries below may include both agency records and settlement announcements for the same case; or else a penalty covering multiple locations may be listed in the individual records for each of the facilities. Duplicate penalty amounts are marked with an asterisk in the list below.

Associated Names:

BLACKROCK; BLACKROCK ADVISORS; BLACKROCK FUND ADVISORS; BLACKROCK INSTITUTIONAL TRUST

Links:Subsidy Tracker data on financial assistance to this company by federal, state and local government agencies can be found [here](#).

Individual Penalty Records:

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Company	Primary Offense Type	Year	Agency	Penalty Amount▼
BlackRock Advisors LLC	investor protection violation	2015	SEC	\$12,000,000
BlackRock Institutional Trust Company	securities issuance or trading violation	2014	SEC	\$1,675,350
Blackrock Fund Advisors	investor protection violation	2017	SEC	\$1,500,000
BlackRock Inc.	financial institution supervision failures	2017	SEC	\$340,000
BlackRock Institutional Trust Company NA	securities issuance or trading violation	2012	CFTC	\$250,000

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Note: our penalty amounts include not only fines and monetary settlements but also costs such as supplementary environmental projects or consumer relief that companies are often compelled to undertake as part of settlements. If the settlement includes fines paid to state governments, those are included as well.

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