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**From:** Freedom of Information  
**Sent:** 19 April 2013 11:47  
**To:**  
**Cc:** Freedom of Information  
**Subject:** Freedom of Information : Right to know request  
**Attachments:** FOI2899 Information provided 20130416.pdf

Our ref: FOI2899

Dear

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the "*. . . proportion of FSA ARROW visits from January 1<sup>st</sup> 2009 – December 31<sup>st</sup> 2012 [that] found weaknesses in the target business's anti-money laundering practices.*"

Although you addressed your request to the FSA, as at 1 April 2013 this organisation ceased to exist and was replaced by two different organisations responsible for different aspects of regulation. Your request has now been dealt with by the Financial Conduct Authority (FCA). To find out more about the differences please visit our new website at [www.fca.org.uk](http://www.fca.org.uk).

In my email to you on 21 March 2013, I explained that in order to retrieve the information from every ARROW visit that has taken place for the period in question would take more than 18 hours. However, we would be able to provide you with the number of issues that were open during that period, although we would not be able to confirm whether they were the result of an ARROW assessment or simply as part of the on-going supervisory programme.

You confirmed that you were content to receive the information on this basis, for the period 1 January 2009 to 31 December 2012.

Your request has now been considered and the relevant information is attached.

Yours sincerely

Information Access Team

Year	Total number of issues	Corporate Finance firms	Custodians	Discretionary Investment Managers	Hedge Funds	Private Client Investment Managers	Private Equity	Retail Banks	Wholesale Banks - EEA	Wholesale Banks Non-EEA	Wholesale Brokers	Wholesale Investment Banks Group 1	Wholesale Investment Banks Group 2	Groups	General Insurer in run-off	Mainstream Fund Managers	Wealth Managers
2009	36	1	1	5	2	3	1		4	4	2		8	5			
2010	33	1	1	4	1	2	2	1	3	7	5	2		4			
2011	35		1				3	2	3	7	7		2	5	1	2	2
2012	21		1				3	1	2	6	4		1	1	1		1