Annex A

FOI11278

1. *How many open investigations of firms with permission to trade as a general insurance broker – by this I mean a company selling non-investment insurance contracts – do you have? Please confirm the split between firms and individuals.*

2. *How many open investigations into senior managers of firms with permission to trade as a general insurance broker – by this I mean a company selling non-investment insurance contracts – do you have? Please confirm the split between different senior management functions.*

3. *How many open investigations are there in total across all firms authorised by the FCA? Please confirm the split between firms and individuals.*

4. *How many investigations of firms with permission to trade as a general insurance broker – by this I mean a company selling non-investment insurance contracts – have you launched since 9 December 2019? Please confirm the split between firms and individuals.*

5. *How many investigations into senior managers of firms with permission to trade as a general insurance broker – by this I mean a company selling non-investment insurance contacts – have you launched since 9 December 2019? Please confirm the split between different senior management functions.*

6. *How many investigations in total across all firms authorised by the FCA have been launched since 9 December 2019? Please confirm the split between firms and individuals.*

Refinement

- *For questions 1, 2, 4 and 5, we could provide responses limited to the number of investigations into firms holding the relevant permissions together with the numbers of individuals under investigation where those individual investigations relate to operations involving firms that hold the relevant permissions.*

- *In addition, for questions 2 and 5, we could provide responses to the aspects of those questions limited to those investigations relating to senior managers which relate to potential breaches of requirements relating to the SMCR regime (e.g. COCON rules).*

- *We can respond to questions 3 and 6 as originally stated.*