

9 July 2020

Our Ref: FOI 7355

Freedom of Information: Right to know request

Thank you for your email of 11 June 2020 about FCA casework undertaken by our Enforcement Division.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and have numbered your questions for ease of reference. Please note that where you refer to "cases", we have interpreted this to mean enforcement investigations and as such our response is as follows:

1. The number of active FCA cases;
633 (Data correct as at 16/06/2020)
2. The number of cases the FCA has closed in the past 12 months;
222 (*Note: Date collated from 19/06/2019 – 19/06/2020*)
3. The number of cases the FCA has closed since 23 March 2020
60
4. The number of cases opened since 23 March 2020
32
5. A breakdown of whether closed cases are regulatory, criminal or civil would be appreciated.

Case Subtype	Number of closed cases since 19/06/2019
Regulatory	137
Dual Track*	52
Criminal	27
Civil	6
Total	222

*Dual-track investigations are those which might result in civil or criminal proceedings depending on the outcome of the investigation.

Please note when considering the above that figures provided do not include threshold condition cases. Threshold condition cases are not considered Enforcement Investigations. The criteria of these cases differ to our Enforcement investigations.

Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please contact us within 40 working days of the date of this response.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner by phone or on their website at:

Telephone: 0303 123 1113

Website: www.ico.org.uk