

Date: 12 October 2020

Our Ref: FOI7637

Freedom of Information: Right to know request

Thank you for your email of 13 September 2020, in which you asked for information in relation to Enforcement investigations.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and we have answered each question in turn.

1. *Please can you confirm the current number of open FCA enforcement investigations?*

576 as at 21 September 2020.

2. *Please can you confirm how many of the enforcement investigations referred to in the response to 1 are into:*

- a. *Firms?*

227

- b. *Individuals?*

349

3. *Please can you confirm how many of the enforcement investigations referred to in the response to 2b are into:*

- a. *Individuals who are classified as Senior Managers under the Senior Managers and Certification Regime (the SMCR)?*

21

- b. *Individuals who are identified by their firms as being Certified Persons for the purposes of the SMCR?*

6

- c. *Individuals who are neither Senior Managers nor Certified Persons but are required to comply with the FCA's Code of Conduct (COCON)?*

1

4. *How many enforcement investigations does the FCA have open into alleged 'non-financial misconduct'? By non-financial misconduct, we mean the conduct referred to by*

the FCA in various speeches and publications as including alleged sexual misconduct, harassment, bullying, discrimination, intimidation, favouritism and/or exclusion.

6

5. *How many of the enforcement investigations referred to in 4 above are into:*

a. Firms?

1

b. Individuals?

5

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 at FreedomofInformationAppeals@fca.org.uk.

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority