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(By email)

2 December 2013

Our Ref: FOI3204

Dear

Freedom of Information : Right to know request

We refer to your request under the Freedom of Information Act 2000 (the Act), for the following information.

- "1. How many warrants to enter and search business premises has the FCA applied for over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 2. How many warrants to enter and search residential premises has the FCA applied for over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 3. How many applications for warrants to enter and search business premises has the FCA been refused over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 4. How many applications for warrants to enter and search residential premises has the FCA been refused over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 5. How many searches of business premises has the FCA conducted over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 6. How many searches of residential premises has the FCA conducted over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 7. How many prosecutions has the FCA commenced over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?*
- 8. How many convictions has the FCA secured over the last five calendar years (please provide a breakdown per year, and for the first three quarters of 2013)?"*

Your request has now been considered and we can confirm that we hold some of the information you have requested.

In relation to Questions 1-6, the FCA does not hold the information for the period 2008 to 2012 in the format you have requested as there was no business need at the time to distinguish between warrants for residential and commercial properties. However, since the beginning of 2013 we have made that distinction and are able to provide you with the relevant information for the year to date as shown in the table below.

No warrants were refused over the past five years, therefore the number of warrants applied for and the number of searches conducted is the same.

Year	Warrants issued and searches conducted
2008	22
2009	37
2010	36
2011	21
2012	11
2013 (Q1-3)	Business premises – 5 Residential premises – 6 Vehicle searches – 1

For Question 7, you asked about the numbers of prosecutions that the FCA had commenced over the last five years. The term "prosecutions commenced" can refer to the commencement of a trial, making a charging decision or the act of charging an individual, all of which will end in a trial. Therefore the total number of trials completed will reflect the total number of prosecutions commenced and will capture all three meanings of the term "prosecutions commenced". This information is summarised in the table below.

Year	Number of trials completed
2008	1
2009	1
2010	3
2011	4
2012	3
2013 (Q1-3)	4

In relation to Question 8, the information is provided in the table below.

Year	Number of individuals convicted
2008	1
2009	2
2010	3
2011	7
2012	9
2013 (Q1-3)	5

Further information on the FCA's enforcement powers can be found on our website at the following link:

<http://www.fca.org.uk/firms/being-regulated/enforcement>

Yours sincerely

Information Access Team
Financial Conduct Authority