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19 March 2018

(By email)

Our Ref: FOI5640

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 investigations does the FCA launch into company directors each year.*
- 2. A breakdown of the types of investigations launched, using whichever categories are used internally.*

Please provide the data for each of the last three years with a year-end 31st December or whichever year-end date is most convenient. If you cannot provide data for each of the last three years, then please provide data for each of the most recent two years."

Your request has now been considered and we address each point in turn.

- 1. How many investigations does the FCA launch into company directors each year.*

The number of Enforcement investigations that the FCA has opened into company directors in each of the past three years is outlined in the table below.

Year	Number of investigations
2015	21
2016	24
2017	45

Please note:

- 1. We have taken "company directors" to mean those individuals who have held CF1 (Director) or CF2 (Non-Executive Director) functions at any point; they may not have held those functions at the time of the investigated misconduct.*
- 2. The data has been provided with a year-end of 31 December as requested;*
- 3. The figures reflect the number of investigations opened each year and do not include*

ongoing investigations opened in previous years.

2. A breakdown of the types of investigations launched, using whichever categories are used internally.

Category	2015	2016	2017	Total
Client money / assets			1	1
Culture / governance		2	10	12
Financial crime		5	12	17
Financial promotions		5		5
Insider dealing	1	1	1	3
Mis-selling	6	1	1	8
Retail conduct	13	9	19	41
Application to revoke / vary permission or approval			1	1
Wholesale conduct	1	1		2
Grand Total	21	24	45	90

Please note: Categories have been mapped to match the Annual Enforcement Performance Account (AEPA).

Yours sincerely

Information Disclosure Team
Financial Conduct Authority

Your right to complain under the FoI Act

If you are unhappy with the decision made in relation to your request, you have the right to request an internal review. If you wish to exercise this right you should contact us within three months 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 at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF. Telephone: 01625 545 700. Website: www.ico.org.uk