

Email: foi@fca.org.uk

[By Email]

5 July 2018

Our Ref: **FOI5745**

Dear

Freedom of Information: Right to know request

Sorry for the delay in responding to you.

Thank you for your request under the Freedom of Information Act 2000 (the Act). I can confirm we hold the information requested and your request has been answered in turn.

"1. *a list of regulated bodies or firms that the FCA*

a) prosecuted

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b) took alternative action since 2008 for breaches of anti-money laundering rules other than the Money Laundering Regulations 2007 and 2017, including the FCA's rules on required anti-money laundering systems.

The information you have requested can be found attached.

2. the number of criminal investigations opened by the FCA in each year since February 2014 into breaches of anti-money laundering rules by regulated bodies or firms other than the Money Laundering Regulations 2007 and 2017, and the number closed.

Year	Number of Investigations opened
2014	4
2015	2
2016	16
2017	13
2018	1
Grand Total	36

Year	Number of Investigations closed
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2014	1
2015	3
2016	1
2017	1
Grand Total	6

3. the number of criminal investigations currently underway by the FCA into breaches of anti-money laundering rules by regulated bodies or firms.”

34*

***Some of the investigations are both criminal and civil.**

Yours sincerely

Information Disclosure Team

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