

(By email)

7 August 2018

Our Ref: FOI5836

Dear

Freedom of Information: Right to know request

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

'How many enforcement investigations the FCA has open as at this date in respect of:

- 1) Senior Managers;*
- 2) Certified Persons; and*
- 3) staff subject to the Conduct Rules'.*

On 10 July 2018, you clarified that for point 3 you meant individuals that are subject to the Code of Conduct in the FCA Handbook. You also confirmed that you wished to receive statistics regarding any investigation, as opposed to just investigations relating to alleged breaches of the FCA's Code of Conduct.

Your request has been considered and the information can be found in the table below. The figures are correct as at the date of this response.

Senior Managers	12
Certified Persons	7
Staff subject to the Conduct Rules *	19

**This figure includes Senior managers and Certified Persons.*

Yours sincerely

Information Disclosure Team
Financial Conduct Authority