

Email: foι@fca.org.uk

**[BY email]**

**06 September 2018**

Our Ref: **FOI5943**

Dear

**Freedom of Information : Right to know request**

Thank you for your request under the Freedom of Information Act 2000 (the Act).

Your request has now been considered and has been answered in turn.

- 1) *""The number of regulatory investigations opened by the Financial Conduct Authority in the year 2015/2016;*  
**88**
- 2) *The number of regulatory investigations closed without enforcement action by the Financial Conduct Authority in the year 2015/2016;*  
**19**
- 3) *The number of regulatory investigations that resulted in Financial Conduct Authority enforcement action in the year 2015/2016;*  
**68**
- 4) *The number of regulatory investigations opened by the Financial Conduct Authority in the year 2016/2017;*  
**164**
- 5) *The number of regulatory investigations closed without enforcement action by the Financial Conduct Authority in the year 2016/2017;*  
**36**
- 6) *The number of regulatory investigations that resulted in Financial Conduct Authority enforcement action in the year 2016/2017;*  
**37**
- 7) *The number of regulatory investigations opened by the Financial Conduct Authority in the year 2017/2018;*  
**162**
- 8) *The number of regulatory investigations closed without enforcement action by the Financial Conduct Authority in the year 2017/2018;*  
**39**
- 9) *The number of regulatory investigations that resulted in Financial Conduct Authority enforcement action in the year 2017/2018; and*

**70**

10) *The number of active regulatory investigations.*

**356 (325 regulatory and 31 Civil)**

11) *The number of criminal investigations opened by the Financial Conduct Authority in the year 2015/2016;*

**21**

12) *The number of criminal investigations closed without enforcement action by the Financial Conduct Authority in the year 2015/2016;*

**5**

13) *The number of criminal investigations that resulted in Financial Conduct Authority enforcement action in the year 2015/2016;*

**6**

14) *The number of criminal investigations opened by the Financial Conduct Authority in the year 2016/2017;*

**118**

15) *The number of criminal investigations closed without enforcement action by the Financial Conduct Authority in the year 2016/2017;*

**35**

16) *The number of criminal investigations that resulted in Financial Conduct Authority enforcement action in the year 2016/2017;*

**7**

17) *The number of criminal investigations opened by the Financial Conduct Authority in the year 2017/2018;*

**140**

18) *The number of criminal investigations closed without enforcement action by the Financial Conduct Authority in the year 2017/2018;*

**73**

19) *The number of criminal investigations that resulted in Financial Conduct Authority enforcement action in the year 2017/2018; and*

**26**

20) *The number of active criminal investigations."*

**167 (136 criminal and 31 Dual track\*)**

**\*(both criminal and regulatory)**

Yours sincerely

**Information Disclosure Team**