

Email: [foi@fca.org.uk](mailto:foi@fca.org.uk)

(By email)

28 November 2018

Our Ref: FOI5950

Dear

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

Thank you for your request under the Freedom of Information Act 2000 ("the Act"), dated 16 August 2018, for the following information:

1. *"I would like to know when the FCA first made contact with the following firms with concerns relating to their pension advice processes:*
  - *Retirement & Pensions Planning Services*
  - *Active Wealth UK*
  - *Acklam Financial*
  - *Pembrokeshire Mortgage Centre*
  - *West Wales Financial Services*
  - *Bartholomew Hawkins*
  - *County Capital Wealth Management*
  - *Inspirational Financial Management*
  - *Mansion Park*
  - *Vintage Investment Services*
  
2. *Next, I'd like to know if that contact was a part of the FCA's multi-firm supervision exercise into pension transfers?"*

Firstly, I would like to sincerely apologise for the delay in responding to your request.

As you are aware, we had some difficulties in determining the precise scope of question 1 in your request. Further to our request for clarification on 23 October 2018, you confirmed that question 1 refers to the first time the FCA contacted each of the listed firms since September 2015, which is when the FCA first started its multi-firm supervision exercise into DB transfers.

Having now considered your request, I can confirm that we hold the information you are seeking, as set out in the table below:

Firm	Date first contact	Contact in relation to the FCA's multi-firm supervision exercise
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	<b>(since 1/09/2015)</b>	<b>into pension transfers (Y/N)</b>
Acklam Financial Limited	12/12/17	N
Active Wealth (UK) Ltd	01/03/16	N
Bartholomew Hawkins Ltd	24/11/17	N
County Capital Wealth Management Limited	07/06/17	Y
Inspirational Financial Management Ltd	14/12/2017*	N
Mansion Park Limited	05/12/17	N
Pembrokeshire Mortgage Centre Ltd	26/01/16	Y
Retirement and Pension Planning Services Ltd	04/12/17	N
Vintage Investment Services	24/11/17	N
West Wales Financial services Limited	06/12/17	N
* First recorded date retrieved (this might have been preceded by a previous verbal communication on, or around, 4 or 5 December 2017).		

In addition to providing you with this information, I can confirm that in respect of those firms whose first contact dates above fell earlier than November 2017, the FCA took relevant steps to address our reasons for making contact.

I trust this answers your request satisfactorily. However, 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 40 working days 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](http://www.ico.org.uk)

Yours sincerely

**Information Disclosure Team**  
Financial Conduct Authority