

Email: foifca.org.uk

[By email]

09 October 2018

Our Ref: FOI6008

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 been considered and answered in turn.

"Would it be possible to have the information/data in Table 2.2: Case movements, from your Enforcement annual performance report 2017/2018 for firms only without individuals?"

**Enforcement Annual
Performance Report 2017/18**

Table 2.2: Case movements (for firm cases only)

Type of case	Open at 1 April 2017	Opened during year	Closed during year	Open at 31 March 2018
Retail conduct	30	23	13	40
Retail lending	0	3	0	3
Client money/assets	2	3	1	4
Financial crime	27	22	3	46
Mis-selling	7	3	2	8
Culture/governance	8	16	1	23
Financial promotions	2	0	0	2
Wholesale conduct	11	5	7	9
Insider dealing	5	7	10	2
Market manipulation	4	4	3	5
Listing/Prospectus Rules/DTR breaches	10	5	7	8
Misleading statements	6	3	3	6
Benchmarks	0	0	0	0
Unauthorised business	20	29	19	30
App. to revoke/vary permission or approval	0	0	0	0
Totals	132	123	69	186

"Would it be possible to have Figure 2.2: Enforcement case movements (2015-2018) from your Enforcement annual performance report 2017/18 for firms only without the data for individuals? Or could I have the data for firms only please?"

Enforcement Annual Performance Report 2017/18

Figure 2.2. (underlying data for firm cases only):

Year	Opened during year	Closed during year	Count of Open (at Year End)
2015/16	41	35	69
2016/17	85	22	132
2017/18	123	69	186

Yours sincerely

Information Disclosure Team