

(By email)

24 January 2019

Our Ref: FOI6167

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

Thank you for your request, dated 24 December 2018, under the Freedom of Information Act 2000 ("the Act") for the following information in relation to Financial Conduct Authority (FCA) investigations. Your request has been numbered for ease of reference.

1. Can you please supply me with annual snapshot figures from 31 March 2002.
2. Can you supply me with quarterly snapshot figures from 30 June 2011.

Your request has now been considered and our response is set out below.

1. The number of Enforcement investigations, for the period dated 31 March 2002 to 31 March 2011, can be found in the Appendices to the FSA's annual reports or, from 2007/08 from the Enforcement Annual Performance Account(EAPA) both of which are available on the [Financial Service Authority \(FSA\) website](#).

Therefore, as this information is publicly available, under section 21 (Information reasonably accessible by other means) of the Act, we are not required to provide it to you. Please see Annex A below for a detailed explanation of why this exemption applies.

2. We hold the information requested on a quarterly basis from 1 April 2011, as shown in the table below. We interpret the request to mean all open FSA / FCA investigations, RDC cases and Tribunal cases:

<b>Period</b>	<b>Count of open Investigations and Cases</b>
30 June 2011	158
30 September 2011	161
31 December 2011	149
<b>31 March 2012</b>	<b>148</b>
30 June 2012	143
30 September 2012	156
31 December 2012	153
<b>31 March 2013</b>	<b>134</b>
The number of open investigations / cases in progress were restated from 134 to 256 on 1 April 2013 to count both firms and individuals. It is not possible to restate previously reported numbers on the new basis.	
30 June 2013	243
30 September 2013	245
31 December 2013	243

<b>31 March 2014</b>	<b>257<sup>1</sup></b>
30 June 2014	251
30 September 2014	241
31 December 2014	239
<b>31 March 2015</b>	<b>226</b>
30 June 2015	221
30 September 2015	232
31 December 2015	246
<b>31 March 2016</b>	<b>247<sup>2</sup></b>
30 June 2016	263
30 September 2016	304
31 December 2016	362
<b>31 March 2017</b>	<b>410<sup>3</sup></b>
30 June 2017	453
30 September 2017	450
31 December 2017	447
<b>31 March 2018</b>	<b>504</b>
30 June 2018	534
30 September 2018	551

1. Reported as 259 in the 2013/14 FCA Enforcement Annual Performance Account (EAPA) – re-stated to 257 in the 2014/15 EAPA to reflect 2 cases that were incorrectly showing as open.
2. Reported as 237 in the 2015/16 EAPA – re-stated to 247 in the 2016/17 EAPA to reflect 10 re-opened cases.
3. Reported as 414 in the 2016/17 EAPA – re-stated to 410 in the 2017/18 EAPA to reflect 4 cases that were incorrectly showing as open.

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 60 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**

## **Annex A**

- **Section 21 (Information reasonably accessible by other means)**

To the extent that we do hold publicly available information, we are not required to release this under the section 21 exemption as it is information which is accessible to you by other means. Section 21(2)(b) states that information is to be taken to be reasonably accessible to the applicant if it is information which the public authority or any other person is obliged by or under any enactment to communicate (otherwise than by making the information available for inspection) to members of the public on request whether free of charge or on payment.

As explained above, some of the information you are seeking is 'reasonably accessible' because it is available on the FCA's website.