

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

[By email]

05 February 2019

Our Ref: FOI6181

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

Thank you for your request under the Freedom of Information Act 2000 (the Act), made on Tuesday 8 January 2019. A full copy of your request is attached in Annex A.

Your request has now been considered. We can confirm that we do hold the information you are requesting. For date (b), we are only able to provide figures as far forward as 14 January 2019. Please see our answers to your request set out in the tables provided in Annex B.

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

### **Annex A**

The total number of Enforcement investigations open at (a) 1 April 2018 and (b) the date of your response to this request, broken down by the following categories:

- (i) retail conduct;
- (ii) retail lending;
- (iii) client money/assets;
- (iv) financial crime;
- (v) mis-selling;
- (vi) culture/governance;
- (vii) financial promotions;
- (viii) wholesale conduct;
- (ix) insider dealing;
- (x) market manipulation;
- (xi) Listing rules/Prospectus rules/DTR breaches;

- (xii) misleading statements;
- (xiii) benchmarks;
- (xiv) unauthorised business; and
- (xv) app. to revoke/vary permission or approval,

in respect of:

- (A) all regulated firms;
- (B) separately, only firms holding the permission of accepting deposits; and
- (C) separately, only firms holding one or more of the following permissions:
  - (1) managing investments;
  - (2) managing an AIF;
  - (3) managing an authorised AIF;
  - (4) managing an unauthorised AIF; and
  - (5) managing a UCITS.

## Annex B

a) *The total number of enforcement investigations open at 1 April 2018*

*In respect of:*

(A) all regulated firms:

<b>Case Type</b>	<b>Total no. of Enforcement investigations</b>
Retail conduct	40
Retail lending	3
Client money/assets	4
Financial crime	45
Mis-selling	8
Culture/governance	23
Financial promotions	2
Wholesale conduct	9
Insider dealing	1
Market manipulation	4
Listing/Prospectus rules/DTR breaches	2
Misleading statements	2
Benchmarks	0
Unauthorised business	1
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>144</b>

(B) *Firms holding the permission of 'accepting deposits':*

<b>Case Type</b>	<b>Total no. of Enforcement investigations</b>
Retail conduct	14
Retail lending	0
Client money/assets	0
Financial crime	17

Mis-selling	0
Culture/governance	7
Financial promotions	0
Wholesale conduct	2
Insider dealing	0
Market manipulation	2
Listing/Prospectus rules/DTR breaches	1
Misleading statements	0
Benchmarks	0
Unauthorised business	0
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>43</b>

(C) Firms holding one or more of the following permissions:

- (1) 'Managing investments'
- (2) 'Managing an AIF'
- (3) 'Managing an authorised AIF'
- (4) 'Managing an unauthorised AIF'
- (5) 'Managing a UCITS'

<b>Case Type</b>	<b>Total no. of Enforcement investigations</b>
Retail conduct	32
Retail lending	0
Client money/assets	4
Financial crime	33
Mis-selling	7
Culture/governance	19
Financial promotions	0
Wholesale conduct	8
Insider dealing	0
Market manipulation	4
Listing/Prospectus rules/DTR breaches	1
Misleading statements	0
Benchmarks	0
Unauthorised business	0
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>108</b>

(b) The total number of enforcement investigations open at 14 January 2019:

In respect of:

(A) all regulated firms:

<b>Case Type</b>	<b>Total no. of Enforcement investigations</b>
Retail conduct	46
Retail lending	5
Client money/assets	6
Financial crime	51
Mis-selling	9
Culture/governance	27
Financial promotions	2
Wholesale conduct	15
Insider dealing	2
Market manipulation/Misleading statements	10
Listing/Prospectus rules/DTR breaches	3
Benchmarks	0
Unauthorised business	3
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>179</b>

(B) Firms holding permission of 'accepting deposits':

<b>Case Type</b>	<b>Total no. of Enforcement investigations</b>
Retail conduct	11
Retail lending	0
Client money/assets	0
Financial crime	17
Mis-selling	0
Culture/governance	5
Financial promotions	0
Wholesale conduct	5
Insider dealing	0
Market manipulation	2
Listing/Prospectus rules/DTR breaches	1
Misleading statements	0
Benchmarks	0
Unauthorised business	0
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>41</b>

(C) Firms holding one or more of the following permissions:

- (1) 'Managing investments'
- (2) 'Managing an AIF'
- (3) 'Managing an authorised AIF'
- (4) 'Managing an unauthorised AIF'
- (5) 'Managing a UCITS'

<b>Case Type</b>	<b><i>Total no. of Enforcement investigations</i></b>
Retail conduct	37
Retail lending	0
Client money/assets	5
Financial crime	36
Mis-selling	8
Culture/governance	22
Financial promotions	0
Wholesale conduct	15
Insider dealing	0
Market manipulation/Misleading statements	6
Listing/Prospectus rules/DTR breaches	1
Benchmarks	0
Unauthorised business	0
App. To revoke/vary permission or approval	0
<b>Total</b>	<b>130</b>