

Email: foi@fca.org.uk

By Email

26 March 2019

Our Ref: FOI6277

Freedom of Information: Right to know request

Thank you for your request, dated 26 February 2019, under the Freedom of Information Act 2000 (the Act), for statistics on the number of enforcement investigations into individuals and companies.

Your request has now been considered and I will respond to each question in turn (please note I have renumbered you request for ease of reference).

1. How many individuals were convicted following investigations brought by the FCA?

Year	No.
2013	3
2014	2
2015	14
2016	4
2017	5
2018	9
Total	37

2. How many individuals were prosecuted following investigations brought by the FCA?

Year	Confiscation order	Convictions
2013	2	3
2014	11	2
2015	4	14
2016	2	4
2017	10	5
2018	2	9
Total	31	37

3. How many criminal investigations were commenced by the FCA against individuals?

Year	No.
2013	4
2014	10
2015	17
2016	78
2017	89
2018	80
Total	278

4. How many companies were convicted following investigations brought by the FCA?

0.

5. How many companies were prosecuted following investigations brought by the FCA?

0

In addressing 4 and 5 above, it might be helpful to note, the FCA's regulatory and civil powers and penalties offer a far more expedient and cost-effective alternative to criminal prosecution.

6. How many criminal investigations were commenced by the FCA against companies?

Year	No.
2013	0
2014	4
2015	1
2016	9
2017	36
2018	19
Total	69

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 the Information Disclosure Team 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.

Yours sincerely

Information Disclosure Team
Financial Conduct Authority