

Email: foifca.org.uk

[By email]

29 March 2019

Our Ref: FOI6306

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

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following information:

*"1) How many investigations did the FCA launch into company directors in 2018 (year to Dec 31 2018)*

*2) A breakdown of the types of investigations launched, using whichever categories are used internally."*

Your request has now been considered and we address each point in turn.

*1) How many investigations did the FCA launch into company directors in 2018 (year to Dec 31 2018)*

**58**

*Please note:*

*We have taken "company directors" to mean those individuals who have held CF1 (Director) or CF2 (Non-Executive Director) functions at any point; they may not have held those functions at the time of the investigated misconduct.*

*2) A breakdown of the types of investigations launched, using whichever categories are used internally."*

<b>Category</b>	<b>2018</b>
Client money / assets	3
Retail conduct	10
Culture / governance	27
Financial crime	3
Financial promotions	2

Insider dealing	2
Mis-selling	3
Application to revoke/vary permission or approval	2
Wholesale conduct	6
<b>Total</b>	<b>58</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**