

[By email]

16 April 2019

Our Ref: FOI6339

We refer to your request under the Freedom of Information Act 2000 ("the Act"), made on 20 March 2019, for information regarding investigations in 2018 and the number of current investigations the FCA has open.

Your request has been considered.

Please see below your full request and our answers to each question set out below:

1) *How many active investigations does the FCA currently have open?*

a. Please split into criminal, regulatory and dual track

Our response:

Criminal	152
Regulatory	353
Dual track	106
Civil	24
Total	635

- Data collated on 28/03/19
- Figures include all Unauthorised Business Department/Wholesale and Retail Investigations (excluding Threshold Condition cases)
- Figures include investigations into firms and individuals

2) *The number of investigations closed since September 2018?*

a. Please split into those closed with enforcement action and those closed without enforcement action.

Our response:

Closed with enforcement action	15
Closed without enforcement action	90
Total	105

- Data collated on 28/03/19

3) *The number of investigations opened since September 2018?*

Our response: 214

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority