

Email: foi@fca.org.uk

By email

8 May 2019

Our Ref: FOI6377

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), dated 5 April 2019, for the following information:

"In the FCA's Enforcement annual performance report 2017/18, it states at table 2.2 (page 6) that the FCA had 61 investigations categorized as culture/governance cases open as at 31 March 2018.

Could you please confirm how many culture/governance cases were open as at 31 March 2019.

Could you also please provide any further clarity or breakdown as to the types of cases which fall within the culture/governance categorization."

Your request has now been considered and the relevant information is below. As at 31 March 2019 the FCA had 70 culture/governance investigations open. The investigations falling within this case type would potentially include, for example, investigations into suspected misconduct by a senior manager, a failure by a firm to deal openly and cooperatively with the FCA, or a failure to treat customers fairly.

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