

5 September 2019

Our Ref: FOI6683

### Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act) dated 7 August 2019 for the following information.

*"I would like to request the data on the FCA's enforcement action, similar to the information presented in Table 2.2 of the Enforcement Annual Performance Report 2017/18 but for firms only, for the period 2015–2019."*

Your request has now been considered. The information you have requested is provided in the tables below. Please note that the figures will differ from the published Annual Enforcement reports as they relate to **firms only**.

#### 2015/16

Case Type	Count of Open at Year Start	Opened during year	Closed during year	Count of Open (at Year End)
Treatment of Customers	21	20	14	27
Client Money	4	1	2	3
Financial Crime Controls	7	5	3	9
Other - Fitness, Culture and Governance	3	3	2	4
Wholesale Conduct	11	2	5	8
Market Conduct (Other)	8	5	4	9
Market Conduct (Criminal)	0	1	0	1
Civil (UBD)	9	4	5	8
<b>Totals excluding Threshold Conditions Team (TCT) cases</b>	<b>63</b>	<b>41</b>	<b>35</b>	<b>69</b>

Table 1.1

#### 2016/17

Case Category	Count of Open at Year Start	Opened during year	Closed during year	Count of Open (at Year End)
Retail conduct	20	14	4	30

Client money/assets	3	1	2	2
Financial crime	9	20	2	27
Mis-selling	8	2	3	7
Culture/governance	4	6	2	8
Financial promotions	0	2	0	2
Wholesale conduct	7	5	1	11
Insider dealing	2	3	0	5
Market manipulation	3	6	5	4
Listing rules/DTR breaches	3	8	1	10
Misleading statements	2	4	0	6
Unauthorised business	8	14	2	20
<b>Totals (excluding TCT cases)</b>	<b>69</b>	<b>85</b>	<b>22</b>	<b>132</b>

**Table 1.2**

**2017/18**

Type of case	Open at 1 April 2017	Opened during year	Closed during year	Open at 31 March 2018
Retail conduct	30	23	13	40
Retail lending	0	3	0	3
Client money/assets	2	3	1	4
Financial crime	27	22	3	46
Mis-selling	7	3	2	8
Culture/governance	8	16	1	23
Financial promotions	2	0	0	2
Wholesale conduct	11	5	7	9
Insider dealing	5	7	10	2
Market manipulation	4	4	3	5
Listing/Prospectus Rules/DTR breaches	10	5	7	8
Misleading statements	6	3	3	6
Benchmarks	0	0	0	0
Unauthorised business	20	29	19	30
App. to revoke/vary permission or approval	0	0	0	0
<b>Totals (excluding TCT cases)</b>	<b>132</b>	<b>123</b>	<b>69</b>	<b>186</b>

**Table 1.3**

**2018/19**

Type of case	Open at 1 April 2018	Opened during year	Closed during year	Open at 31 March 2019
Retail conduct	40	18	13	45

Retail lending	3	3	1	5
Client money/assets	4	3	1	6
Financial crime	45	13	10	48
Mis-selling	8	2	0	10
Culture/governance	24	14	6	32
Financial promotions	2	1	0	3
Wholesale conduct	10	2	2	10
Insider dealing	7	6	4	9
Market manipulation	6	4	1	9
Listing/Prospectus Rules/DTR breaches	8	2	3	7
Misleading statements	6	3	2	7
Benchmarks	0	0	0	0
Unauthorised business	36	41	19	58
App. to revoke/vary permission or approval	0	0	0	0
<b>Totals</b>	<b>199</b>	<b>112</b>	<b>62</b>	<b>249</b>

**Table 1.4**

**Summary Table For Firm cases only:**

<b>Year</b>	<b>Opened during year</b>	<b>Closed during year</b>	<b>Count of Open (at Year End)</b>
2015/16	41	35	69
2016/17	85	22	132
2017/18	123	69	186
2018/19	112	62	249

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 / Cyber & Information Resilience Department



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