

30 September 2019

Our Ref: FOI6745

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

We refer to your request of 02 September 2019, under the Freedom of Information Act 2000 ("the Act"), for the following information:

*"In reference to the below response (your ref: FOI6569).*

*Under the Freedom of Information Act, I would like to know:*

- 1. Number of investigations into businesses opened by the FCA broken down by quarter*
- 2. A breakdown of these investigations by the type of firm being investigated using whatever categories are used internally; e.g. investment managers, financial advisers etc.*

*In your previous request, you provided the data broken down by year (with a year-end 31<sup>st</sup> December). I am now looking for this data broken down by quarter up until 30<sup>th</sup> June 2019"*

Your request has now been considered and our response is as follows:

#### **Q4 2017/18 January – March 2018**

<b>Type of firm</b>	
Asset Management	5
Civil UBD	3
Consumer credit	2
Criminal UBD	3
General Insurance & Protection	1
Investment Adviser	17
Investment Banks	1
Investment Management	0
Payments Service Firm	1
Retail Banks	3
Retail Investments	0
Wealth Management & Private Banking	1
Retail Lending	0
Wholesale Financial Markets	7
Insurance	0
<b>Total</b>	<b>44</b>

**Q1 2018/19**  
**April – June 2018**

<b>Type of firm</b>	
Asset Management	1
Civil UBD	7
Consumer credit	2
Criminal UBD	7
General Insurance & Protection	1
Investment Adviser	2
Investment Banks	0
Investment Management	2
Payments Service Firm	0
Pensions & Retirement	1
Retail Banks	2
Retail Investments	1
Wealth Management & Private Banking	1
Retail Lending	2
Wholesale Financial Markets	1
Insurance	0
<b>Total</b>	<b>30</b>

**Q2 2018/19**  
**July – September 2018**

<b>Type of firm</b>	
Asset Management	0
Civil UBD	1
Consumer credit	0
Criminal UBD	2
General Insurance & Protection	0
Investment Adviser	1
Investment Banks	0
Investment Management	1
Payments Service Firm	0
Pensions & Retirement	0
Retail Banks	4
Retail Investments	1
Wealth Management & Private Banking	0
Retail Lending	3
Wholesale Financial Markets	4
Insurance	0
<b>Total</b>	<b>17</b>

**Q3 2018/19**  
**October – December 2018**

<b>Type of firm</b>	
Asset Management	0
Civil UBD	12
Consumer credit	0
Criminal UBD	4
General Insurance & Protection	0
Investment Adviser	0
Investment Banks	0
Investment Management	0
Payments Service Firm	0
Pensions & Retirement	0
Retail Banks	2
Retail Investments	2
Wealth Management & Private Banking	0
Retail Lending	4
Wholesale Financial Markets	11
Insurance	1
<b>Total</b>	<b>36</b>

**Q4 2018/19**  
**January – March 2019**

<b>Type of firm</b>	
Asset Management	1
Civil UBD	2
Consumer credit	4
Criminal UBD	2
General Insurance & Protection	1
Investment Adviser	0
Investment Banks	0
Investment Management	0
Payments Service Firm	0
Pensions & Retirement	0
Retail Banks	3
Retail Investments	0
Wealth Management & Private Banking	0
Retail Lending	1
Wholesale Financial Markets	2
Insurance	0
<b>Total</b>	<b>16</b>

**Q1 2019/20**

## April – June 2019

Type of firm	
Asset Management	0
Civil UBD	2
Consumer credit	2
Criminal UBD	0
General Insurance & Protection	0
Investment Adviser	0
Investment Banks	0
Investment Management	7
Payments Service Firm	0
Pensions & Retirement	2
Retail Banks	0
Retail Investments	3
Wealth Management & Private Banking	0
Retail Lending	4
Wholesale Financial Markets	2
Insurance	0
<b>Total</b>	<b>22</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 / Cyber and Information Resilience Department /  
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