

Email: foi@fca.org.uk

15 October 2019

Our Ref: FOI6781

Freedom of Information: Right to know request

Thank you for your request of 17 September 2019 under the Freedom of Information Act 2000 (the Act) for the following information.

"I am seeking information on the number of open investigations the FCA is conducting concerning the investment management sector: How many investigations referred by the supervision department involving investment management did the FCA have open as at 22 June 2018?"

Your request has now been considered. We can confirm as at 30 September 2019 there were 38 open investigations that involve investment management which were referred to our Enforcement and Market Oversight Division by our Supervision Department(s).

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/ Cyber & Information Resilience Department