

Freedom of Information: Right to know request

Thank you for your request dated 2 December 2019, received under the Freedom of Information Act 2000 (the "Act") for the following information (for ease of reference you will note your request has been numbered).

- 1. The number of open FCA cases;*
- 2. The number of active investigations into individuals; and*
- 3. The number of active investigations into companies.*
- 4. If there is a further breakdown of statistics into whether the individuals are senior managers or not that would be great.*

Your request has been considered and we can confirm that we hold the information you have requested. Please note that the figures provided below are correct as at 9 December 2019.

1. 630

Note: This excludes Threshold Conditions Team (TCT) cases.

2 and 3.

| Investigations into: | No. |
|-----------------------------|------------|
| Individuals | 377 |
| Firms | 253 |
| Total | 630 |

4. The FCA is currently investigating **15** individuals under the Senior Managers Regime.

If you are unhappy with this response, 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
Financial Conduct Authority