

14 April 2020

Our Ref: FOI7194

Freedom of Information: Right to know request

Thank you for your request dated 13 March 2020. You asked for the following information (please note we have renumbered your request for ease of response):

1. How many investigations into insider trading/market abuse did the FCA open between 2015 and 2020 - please provide a monthly breakdown
2. How many of these investigations were open for longer than 6 months
3. How many insider trading/market abuse investigations are still open?

We have considered your request in line with the provisions of the Freedom of Information Act 2000 and our response is set out below.

For point 1, please refer to Annex A for the number of investigations opened by the FCA into insider trading/market abuse between 2015 and 2020.

For point 2, we can confirm that 231 investigations were open for longer than 6 months. Please note this also includes cases that are currently open.

For point 3, we can confirm there are 144 insider trading/market abuse investigations that are still open.

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 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 who can be contacted by phone or on their website:

Telephone: 01625 545 700.

Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team

Annex A

Information for point 1, on the number of investigations opened by the FCA into insider trading/market abuse between 2015 and 2020:

Month	No.
Jan-15	0
Feb-15	0
Mar-15	1
Apr-15	0
May-15	3
Jun-15	2
Jul-15	0
Aug-15	0
Sep-15	0
Oct-15	2
Nov-15	2
Dec-15	5
Total	15

Month	No.
Jan-16	0
Feb-16	1
Mar-16	3
Apr-16	0
May-16	1
Jun-16	9
Jul-16	6
Aug-16	12
Sep-16	1
Oct-16	12
Nov-16	26
Dec-16	0
Total	71

Month	No.
Jan-17	2
Feb-17	7
Mar-17	11
Apr-17	2
May-17	15
Jun-17	7
Jul-17	9
Aug-17	2
Sep-17	13
Oct-17	1
Nov-17	0

Dec-17	0
Total	69

Month	No.
Jan-18	2
Feb-18	11
Mar-18	4
Apr-18	2
May-18	8
Jun-18	8
Jul-18	6
Aug-18	6
Sep-18	3
Oct-18	1
Nov-18	10
Dec-18	6
Total	67

Month	No.
Jan-19	0
Feb-19	1
Mar-19	4
Apr-19	14
May-19	5
Jun-19	4
Jul-19	2
Aug-19	3
Sep-19	7
Oct-19	6
Nov-19	0
Dec-19	5
Total	51

Month	No.
Jan-20	9
Feb-20	0
Mar-20	2
Total	11