

Freedom of Information: Right to know request

We write further to our previous emails about your request for information relating to enforcement investigations. When we wrote to you, we advised that we needed additional time to consider your request as we considered that section 31 (law enforcement) may apply to some (or all) of the information and a decision had not yet been reached on the balance of public interest in respect of that information.

Having now thoroughly considered the information, we have concluded that this exemption does not apply and we are able to provide you with the information requested as outlined below. We have addressed each point in turn.

Please note that the data in respect of questions 1 and 2 include investigations into both firms and individuals.

1. *How many enforcement investigations does the FCA have open regarding potential breaches of CONC 5?*

3

2. *How many enforcement investigations does the FCA have open regarding potential breaches of CONC?*

7

3. *How many section 166 skilled persons reports in relation to affordability checks have been commissioned by the FCA during the past 24 months?*

8

Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please 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 by phone or on their website at:

Telephone: 0303 123 1113

Website: www.ico.org.uk