

Date: 6 August 2020

Our Ref: FOI7456

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

Thank you for your email of 13 July 2020, in which you asked for:

- 1. How many firms has the FCA taken enforcement action against so far in 2020?*
- 2. How many advice firms has the FCA taken enforcement action against so far in 2020?*

Your request has been processed in line with the provisions of the Freedom of Information Act 2000 (FOIA) and our response is below.

We have interpreted "advice firms" as firms that are authorised to have permissions to offer advice.

#### Point 1

We have taken 14 enforcement actions against firms which range from fines, prohibitions and public censure.

#### Point 2

We have taken enforcement actions against 3 advice firms.

### **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 at [FreedomofInformationAppeals@fca.org.uk](mailto:FreedomofInformationAppeals@fca.org.uk).

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](http://www.ico.org.uk)