

28 September 2020  
Our Ref: FOI7558

Thank you for your email of 12 August 2020 about Enforcement investigations.

Our sincere apologies for the delay in responding to you. The information contained in this response is correct as at 25 August 2020.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA). We will answer each question in turn.

***1. How many open investigations are you currently running related to insider dealing?***

The FCA currently has 59 Enforcement investigations in relation to insider dealing.

***2. How many open investigations are you currently running related to market manipulation/abuse?***

The FCA currently has 125 Enforcement investigations in relation to Market abuse.

***3. The number of reported incidents involving insider dealing or market manipulation/abuse in the financial years:***

- (a) 2019/2020***
- (b) 2018/2019***
- (c) 2017/2018***
- (d) 2016/2017***
- (e) 2015/2016***

We can confirm that we hold the information you have requested. We consider that the information you have asked for the years 2015/2016; 2016/2017; 2017/2018; 2018/2019; is already easily available to you by going to our website, found [here](#), for that reason, we are exempted from having to disclose it to under section 21 (information reasonably accessible to the applicant by other means) of FOIA. For more information on why we are applying this exemption and further explanation on obtaining the information please see Annex A below.

Please note we publish this information yearly. Reported incidents for 2020, can be found in the table below. Please be aware that we have taken 'reported incidents' to mean the number of STORs we have received.

<b>YEAR</b>	<b>Insider dealing</b>	<b>Manipulation</b>	<b>Total</b>
January 2020	311	106	<b>417</b>
February 2020	356	69	<b>425</b>
March 2020	282	57	<b>339</b>

**4. The number of investigations conducted in relation to insider dealing or market manipulation/abuse in the financial years:**

- (a) 2019/2020**
- (b) 2018/2019**
- (c) 2017/2018**
- (d) 2016/2017**
- (e) 2015/2016**

Please note the number of investigations opened are within that financial year.

<b>Year</b>	<b>Investigations</b>
2015/2016	24
2016/2017	124
2017/2018	107
2018/2019	106
2019/2020	69

**5. The number of charges raised which involved insider dealing or market manipulation/abuse in the financial years:**

- (a) 2019/2020**
- (b) 2018/2019**
- (c) 2017/2018**
- (d) 2016/2017**
- (e) 2015/2016**

<b>Year</b>	<b>Charges</b>
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2015/2016	3
2016/2017	1
2017/2018	2
2018/2019	0
2019/2020	1

Please note the above figures include all individuals charged including individuals that were charged but their case was dismissed.

**6. The number of convictions involving insider dealing or market manipulation/abuse in the financial years:**

**(f) 2019/2020**

**(g) 2018/2019**

**(h) 2017/2018**

**(i) 2016/2017**

**(j) 2015/2016**

Year	Convictions
2015/2016	2
2016/2017	6
2017/2018	0
2018/2019	0
2019/2020	2

**Your right to complain under FOIA**

If you are unhappy with the decision we have made about your request, you have the right to request an internal review. To do so, please contact us within 40 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](http://www.ico.org.uk)

**Yours sincerely,**

**Information Disclosure Team**



## **Annex A**

- **Section 21 (Information reasonably accessible to the applicant by other means)**

We are not required to provide you with this publicly available information as it is accessible to you by other means.

FOIA states that, even where an authority does not have to publish information, we should not view that information as reasonably accessible purely because it is available from us on request. This applies unless the authority makes the information available by publishing it and specifies any payment required to get it.