

21 September 2020
Our Ref: FOI7590

Thank you for your refined request email of 21 August 2020 about Enforcement investigations.

The information contained in this response is correct as at 16 September 2020.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA). Our answer to each question are presented in the tables below:

Please note as set out in our Approach to Supervision document, found [here](#), the FCA supervises most firms as members of portfolios that share a common business model. The numbers in this response relate to numbers of firms that sit within the FCA Asset Management portfolio.

We have interpreted your request as new enforcement investigations opened in each calendar year.

- 1. I would like to know the number of investigations into asset management firms that took place in the following period: Calendar year 2018-2019; Calendar year 2019 – 2020; From January 2020 to 15 August 2020.**

Year	Investigations
2018	11
2019	3
2020*	2

**This includes all new Enforcement investigations opened from 1st Jan – 15th Aug 2020.*

- 2. I would also like to know the number of FCA investigations into Authorised Corporate Director (ACD) firms that took place in the following periods:**

Calendar year 2018-2019; Calendar year 2019 – 2020; From January 2020 to 15 August 2020

Year	Investigations
2018	3
2019	2
2020*	1

**This includes all new Enforcement investigations opened from 1st Jan – 15th Aug 2020.*

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