

Date: 26 November 2020

Our Ref: FOI7779

Freedom of Information: Right to know request

Thank you for your email of 5 November 2020, about Enforcement investigations.

We have processed your request in line with the provisions of the Freedom of Information Act 2000 (FOIA) and we have answered each question in turn.

- 1. I would like to know how many investigations/enforcement actions the FCA currently has underway against individuals who have been convicted of non-financial criminal offences.*

We currently have 2 investigations open against individuals who have been convicted of non-financial offences.

- 2. Please break down these individuals into categories such as sexual/violent/etc, or those used internally by FCA to categorise.*

Both investigations are for sexual offences.

- 3. I would also like the individuals categorised by FS sector (eg IFA/asset manager/hedge fund/private equity/banking/insurance/etc).*

Both individuals are Financial Advisers.

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.

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority