

Date: 5 December 2020

Our Ref: FOI7814

Freedom of Information: Right to know request

Thank you for your email of 16 November 2020, in which you asked:

- 1. The number of open FCA cases relating to market conduct (specifically under MAR);*
- 2. The number of active investigations into individuals relating to market conduct; and*
- 3. The number of active investigations into companies relating to market conduct.*

We have processed your request in line with the provisions of the Freedom of Information Act 2000 (FOIA) and our response is below.

The figures provided below are as at 23 November 2020.

Question 1

We currently have 116 ongoing Enforcement investigations into potential breaches of market conduct, this information has been collated by primary issue only.

Questions 2 & 3

There are 95 active investigations into individuals and 21 into companies relating to market conduct.

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:

Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team
Financial Conduct Authority