

Date: 23 December 2020

Our Ref: FOI7821

Freedom of Information: Right to know request

Thank you for your email of 18 November 2020, in which you asked about Enforcement investigations into non-financial misconduct.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and we have answered each question in turn. Please accept our sincere apologies for delay in responding.

1. How many investigations has the FCA opened into non-financial misconduct in 2018, 2019 and 2020?

2018 - 1
2019 - 5
2020 - 0

2. How many of those investigations focus on individuals classed as senior managers?

1

3. How many active investigations does the FCA have into non-financial misconduct?

1

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