

By email

Date: 16 February 2021

Our Ref:

Dear

Freedom of Information: Right to know request

Thank you for your email of Tuesday 19 January 2021 in which you requested the following:

*Please confirm the number of open investigations into Cum-Ex related issues as at the date of this information request.
Please also confirm the number of firms and individuals under investigation.
Please clarify whether any Cum-Ex related investigations have been discontinued by the FCA.
Further, please confirm the jurisdictions which these investigations relate to?*

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

We can confirm that as of the submission date of your information request, there were 14 firms and 8 individuals subject to investigation. We have discontinued 3 investigations into individuals.

The jurisdictions that the investigations primarily relate to are Denmark and Belgium.

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