

Date: 10 March 2021

Our Ref: FOI8045

Dear

Freedom of Information: Right to know request

Thank you for your email of 10 February 201, in which you asked for information about our enforcement action.

We have processed your email 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 request the data on the FCA's enforcement action similar to the information presented in Table 2.6 (Case Movements) of the [Enforcement Annual Performance Report 2018/2019](#) ...but for firms only, for all years between 2015–2020***

2015/2016 – Firms Only

Case Type	Open cases at Year Start	Opened during year	Closed during year	Open cases (at Year End)
Treatment of Customers	21	20	14	27
Client Money	4	1	2	3
Financial Crime Controls	7	5	3	9
Other - Fitness, Culture and Governance	3	3	2	4
Wholesale Conduct	11	2	5	8
Market Conduct (Other)	8	5	4	9
Market Conduct (Criminal)	0	1	0	1
Civil – Unauthorised Business	9	4	5	8

Totals (excluding TCT cases)	63	41	35	69
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2016/2017 – Firms Only

Case Category	Open cases at Year Start	Opened during year	Closed during year	Open cases (at Year End)
Retail conduct	20	14	4	30
Client money/assets	3	1	2	2
Financial crime	9	20	2	27
Mis-selling	8	2	3	7
Culture/governance	4	6	2	8
Financial promotions	0	2	0	2
Wholesale conduct	7	5	1	11
Insider dealing	2	3	0	5
Market manipulation	3	6	5	4
Listing rules/DTR breaches	3	8	1	10
Misleading statements	2	4	0	6
Unauthorised business	8	14	2	20
Totals (excluding Threshold conditions cases)	69	85	22	132

2017/2018 – Firms Only

Type of case	Open cases at 1 April 2017	Opened during year	Closed during year	Open at 31 March 2018
Retail conduct	30	23	13	40
Retail lending	0	3	0	3
Client money/assets	2	3	1	4
Financial crime	27	22	3	46
Mis-selling	7	3	2	8
Culture/governance	8	16	1	23
Financial promotions	2	0	0	2
Wholesale conduct	11	5	7	9
Insider dealing	5	7	10	2
Market manipulation	4	4	3	5
Listing/Prospectus Rules/DTR breaches	10	5	7	8
Misleading statements	6	3	3	6
Benchmarks	0	0	0	0
Unauthorised business	20	29	19	30
Totals (excluding Threshold conditions cases)	132	123	69	186

2018/2019 – Firms Only

Type of case	Open cases at 1 April 2018	Opened during the year	Closed during the year	Open at 31 March 2019
Retail conduct	40	18	13	45
Retail Lending	3	3	1	5
Client money/assets	4	3	1	6
Financial crime	45	13	10	48
Mis-selling	8	2	0	10
Culture/governance	18	14	6	32
Financial promotions	2	1	0	3
Wholesale conduct	10	2	2	10
Insider dealing	3	6	4	9
Market manipulation	5	4	1	9
Listing rules/Prospectus rules/DTR breaches	5	2	3	7
Misleading statements	4	3	2	7
Benchmarks	0	0	0	0
Unauthorised business	30	41	19	58
Totals (excluding Threshold conditions cases)	177	112	62	249

2019/ 2020 – Firms only

Type of case	Open cases at 1 April 2019	Opened during the year	Closed during the year	Open at 31 March 2020
Retail conduct	46	26	21	51
Advice - pensions	29	4	4	29
Pension scam	7	0	2	5
Investment scam	1	4	0	5
Retail lending	7	4	4	7
Financial crime	51	8	17	42
Wholesale conduct	17	5	3	19
Insider dealing	8	3	5	6
Market manipulation	7	3	3	7
Listing/Prospectus Rules/DTR Breaches	5	2	1	6
Misleading statements	10	2	3	9
Unauthorised business*	58	13	10	62
Totals (excluding Threshold conditions cases)	246	74	73	248

***Note: total would have been 247 but one case was re-opened as an Unauthorised business case so it was counted twice.**

2. *I would also like to request the data presented in Table 2.1 (Financial Penalties Imposed) for the year 2019-2020*

Information on Financial Penalties that we have imposed can be found on our website [here](#).

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