

19 March 2021

Our Ref: FOI8091

Dear

Freedom of Information: Right to know request

Thank you for your email of 19 February 2021 about investigations we have launched into firms failing to notify the FCA of a net short position for the last 5 years.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and will answer each question in turn.

1. Number of investigations the FCA has launched into firms that failed to notify the FCA of a net short position that reached or crossed the reporting threshold?

Years	Investigations
2015	2
2016	0
2017	0
2018	0
2019	0
2020	1

2. Number of fines the FCA has imposed on firms that failed to notify the FCA of a net short position that reached or crossed the reporting threshold?

We have imposed 1 fine, the details of which can be found [here](#).

3. Value of fines the FCA has imposed on firms that failed to notify the FCA of a net short position that reached or crossed the reporting threshold?

Details on the fine we imposed can be found [here](#). Please note we publish all details on fines on our [website](#).

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 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

