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Date: 4 May 2021  
Our Ref: FOI8199

Dear

**Freedom of Information: Right to know request**

Thank you for your email of 2 March 2021 about FCA cases on OIREQ /OIVOP and Enforcement investigations into insider dealing.

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. The number of cases where the FCA have imposed an Own – initiative powers requirement or variation of permissions (OIREQ or OIVOP) from October 2018 to March 2021; and how many of those OIREQ or OIVOP resulted in Enforcement investigations.**

Years	OIREQ or OIVOP
2018	1
2019	8
2020	11
2021	3

*\*Data correct as at 7/04/2021*

We opened 14 investigations into firms on whom we also imposed an OIREQ or OIVOP.

- 2. Please may I have the figures of new insider dealing or market abuse offence cases opened by FCA Enforcement per month from June 2020 to March 2021.**

Months	Investigations
June 2020	1
July 2020	6
August 2020	0

September 2020	4
October 2020	8
November 2020	1
December 2020	2
January 2020	1
February 2021	2
March 2021	4

*\*Data correct as at 29/04/2021*

**3. Please can you identify the number of ongoing FCA Enforcement investigation cases and in how many has there been some impact on accessing certain documents and witnesses during the pandemic (from 31 January 2020 to date)**

As at 07/04/2021, we have 587 ongoing Enforcement investigations; this excludes Threshold conditions cases.

All ongoing investigations would to some extent have been impacted by COVID for a variety of reasons, including delays in accessing information due to firms changing and adapting to new working practices, scheduling delays for remote interviews, and Court schedule interruption. The changes in FCA's working practices, particularly at the start of the pandemic, also impacted the investigation of our enforcement cases, although the FCA has quickly adapted to these changes and is now generally progressing cases at pre-pandemic pace.

**Your right to complain under FOIA**

If you are unhappy with the decision we have made about your request, you have the right to request an internal review. To do so, please contact us within 40 days of the date of this response.

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](http://www.ico.org.uk)

Yours sincerely,

**Information Disclosure Team**

