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Via Email

xx January 2015

Our Ref: FOI3843

Dear

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act) for information about the number of FCA enforcement investigations. For full details of your request please refer to Annex A.

Your request has now been considered. The information you have requested is shown in the table below:

| Questions | 2012 | 2013 | 2014 |
|---|------|------|------|
| 1) Total No of Investigations Opened | 132 | 85 | 105 |
| 2) Total No of Investigations Opened into Firms | 47 | 36 | 49 |
| 3) Total No of Investigations Opened into Individuals | 87 | 54 | 60 |
| 4) Total No of Opened Investigations into Firms that were closed with no public outcome | 7 | 8 | 14 |
| 5) Total Number of Opened Investigations into Individuals that were closed with no public outcome | 34 | 13 | 5 |

- Please note that some investigations cover both firms and individuals, which is why the sum of figures in rows 2 and 3 is greater than the corresponding figure in row 1.
- Please note that some cases opened in 2012/2013/2014 are still active, and have not yet reached a final outcome.

If you have any queries then please contact me.

Yours sincerely

Information Access Team

Annex A

Request received on 7 January 2015:

“How many enforcement investigations did the FSA/FCA open in each of the last three calendar years (2012, 2013, 2014).

Please could we have the yearly figures broken down by firms and individuals as well as a breakdown of and how many of these were closed with no public outcome. See below:

Total number of investigations opened

Total number of investigations opened into firms

Total number of investigations opened into individuals

Total number of opened investigations into firms that were closed with no public outcome

Total number of opened investigations into individuals that were closed with no public outcome

For 2012, 2013 and 2014 calendar years”