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[via email]

27 November 2015

Our Ref: FOI4248

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for information on how many investigations the FCA has opened where it has relied on an attestation signed by an employee of the firm in the investigation. For full details of your request please refer to the Annex.

Before I respond to your request we have interpreted your request to be for the number of investigations opened in the past two years as a result of failures to comply with confirmations made in an attestation by the firm or by an individual along with how many of these investigations resulted in enforcement action.

Your request has now been considered and I can confirm that during the past two years, 5 November 2013 until 16 November 2015, there are no cases responsive to your request. There was, however, one case which although opened before the period you have identified was open during that period. The request was opened in October 2012 and closed in July 2014. The case did not result in Enforcement Action.

If you have any queries then please contact me.

Yours sincerely

Information Access Team

Annex A

Request received on 14 October 2015:

"Can you please tell me how many investigations the FCA has opened where it has relied on an attestation signed by an employee of the firm in the investigation. Please give figures on a quarterly basis for the past two years. Can you also say how many of these investigations have resulted in enforcement action."

You clarified your request as follows on 5 November 2015:

"Correct, the first part of the question refers to investigations opened as a result of failures to comply with confirmations made in an attestation by the firm or by an individual.

The attestations I am referring to are those which have been required by specific firms/individuals in circumstances unique to that firm/individual."