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[via email]

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Our Ref: FOI4306

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

Thank you for your request under the Freedom of Information Act 2000 (the Act), for information on attestations. 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 the following. For the financial years (FYE) 2013/14 and 2014/15 there were no investigations responsive to your request. However, you may like to be aware that there was one responsive investigation opened in FYE 2012/13. That investigation 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 26 November 2015:

*"I would like some information about attestations and related enforcement activity.*

*Of attestations received by the FCA over the last two financial years, I would like to know:*

- *How many resulted in formal investigation by the FCA*
- *How many resulted in enforcement action by the FCA*

*Please provide the information broken down by quarter for the last two financial years (2013/14, 2014/15)- or whichever year end is most convenient. If it is not possible to provide the information broken down by quarter, please provide it broken down by financial year.*

*If possible, could you also provide the data broken down by sector: Retail; Wholesale and investment management; General insurance and protection; Long term savings and pensions; Mortgages and consumer lending."*