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[BY EMAIL]

24 July 2014

Our Ref: **FOI3544**

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act). The answers to your questions have been provided in bold under each original question.

How many financial adviser firms or individuals is the FCA investigating for enforcement action?

46

Of these, how many are mortgage brokers?

6

What areas does each enforcement action relate to ie. systems and controls, treating customers fairly, mortgage fraud.

**Mis-selling/Customer Care
Integrity
Fraud
Unauthorised Activities**

We have only considered formal investigations referred to Enforcement when gathering together the statistics for this request. This does not include Supervisory visits and Supervision enquiries made with any firm.

In addition, please note that the FCA published its Enforcement Annual Performance Account for the 2013/14 financial year on 10 July 2014, which you can find at this link: <http://www.fca.org.uk/your-fca/documents/corporate/enforcement-annual-performance-account-13-14>. This sets out an overview of the Enforcement actions taken by the FCA during the financial year, which included 56 Final Notices and the imposition of £425m in

financial penalties during the year across the range of financial services activities that fall within our remit.

If you have any queries then please contact me.

Yours sincerely

Information Access Team