

Telephone: 020 7066 8080
Email: foi@fca.org.uk

September 2015

Our Ref: FOI4188

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following information:

*“Prosecutions under FSMA 397/FSA Part 7 Business area/division: Enforcement
Relevant dates: 2009-2014*

For each calendar year from 2009 to 2014 inclusive, how many prosecutions did the FSA or FCA bring under the misleading statements, practices and provisions of the Financial Services and Markets Act 2000 (Section 397) and the Financial Services Act 2000 (Part 7)?

Of these, how many were brought against employees of registered firms listed on the London Stock Exchange, or their subsidiaries?”

Your request has now been considered and I can confirm we hold the information you have requested.

There have been five prosecutions that have been brought for offences under section 397 of the Financial Services and Markets Act 2000 for the relevant time period and of those, there was one case involving employees of companies or subsidiaries which was listed on the London Stock Exchange.

In respect of your request for “the Financial Services Act 2000 (Part 7)”, we are unable to assist with this as we understand no such legislation was ever enacted.

Yours sincerely

Information Access Team