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13 September 2016

Our Ref: FOI4679

Dear

**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:

*"- The number of cases seen by the FCA in the past 12 months where an introducer has had an inappropriate influence on how the authorised advice firm works (as referenced in the 2 August FCA alert). Please provide the information broken down by month.  
- How many of these cases have progressed to investigations by the FCA?"*

Your request has now been considered and I can confirm that the FCA has seen 54 cases in the last 12 months where the introducer is suspected of having an inappropriate influence. Not all of these cases turned out to be confirmed as inappropriate or serious enough for formal enforcement referral (although they may have been dealt with in other ways). So far, 4 cases out of the 54 have progressed to enforcement investigations by the FCA.

If you have any queries then please contact me.

Yours sincerely

**Information Access Team**