

# UK financial regulators:

## Interventions, Enforcement and financial promotions data

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August 2022

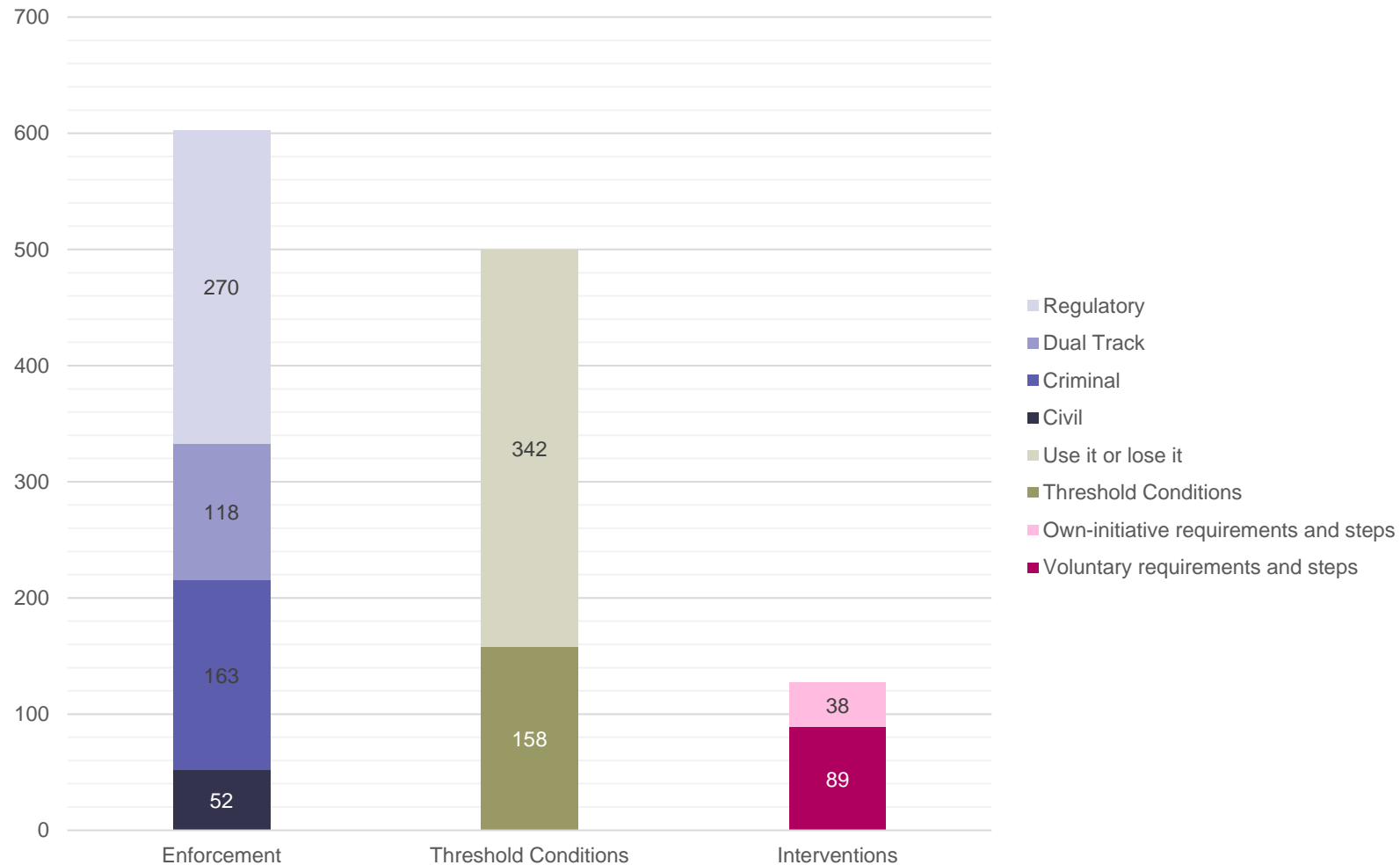
Data sources:  
FCA and PRA annual reports;  
FCA promotions data

# FCA Interventions

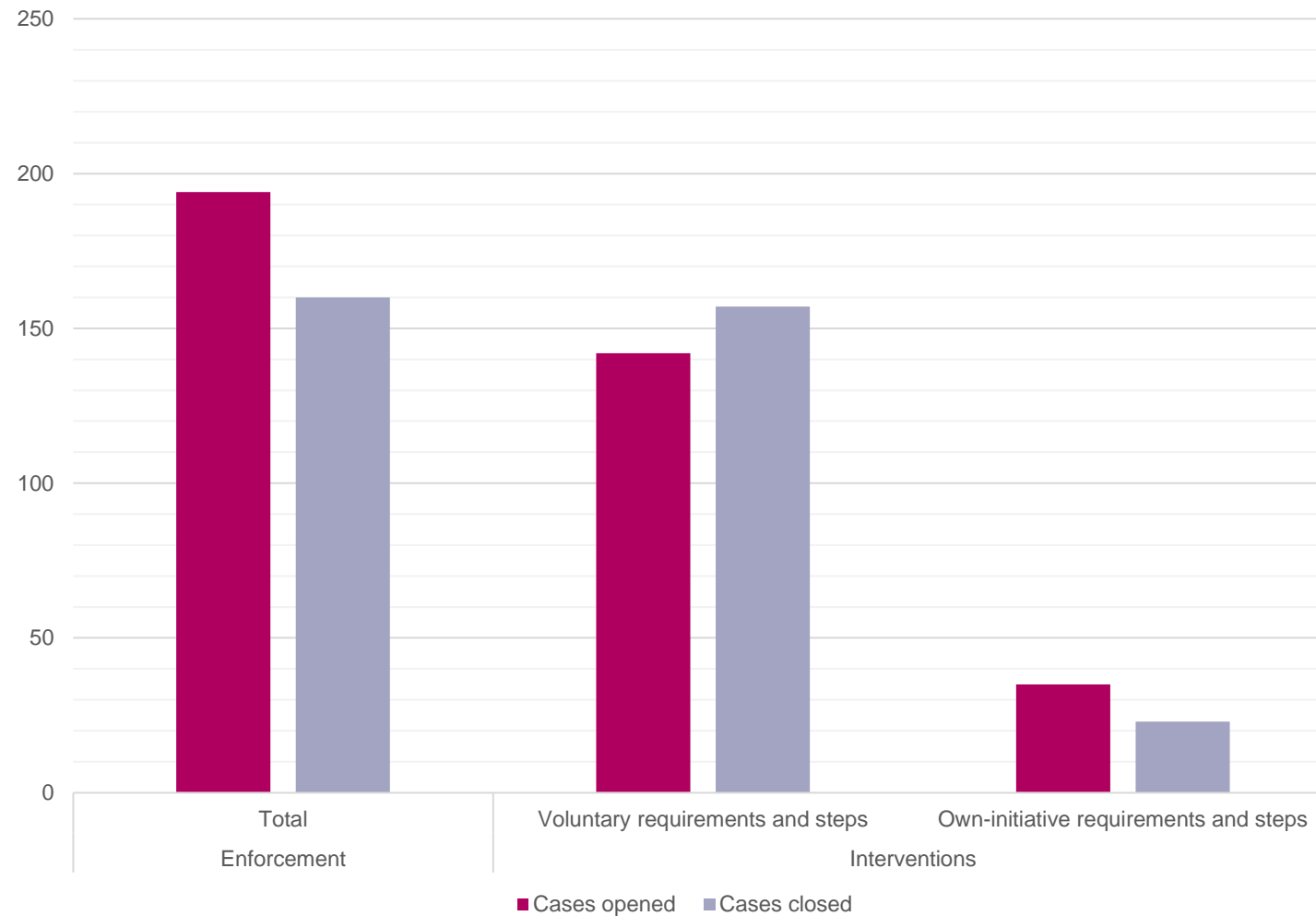
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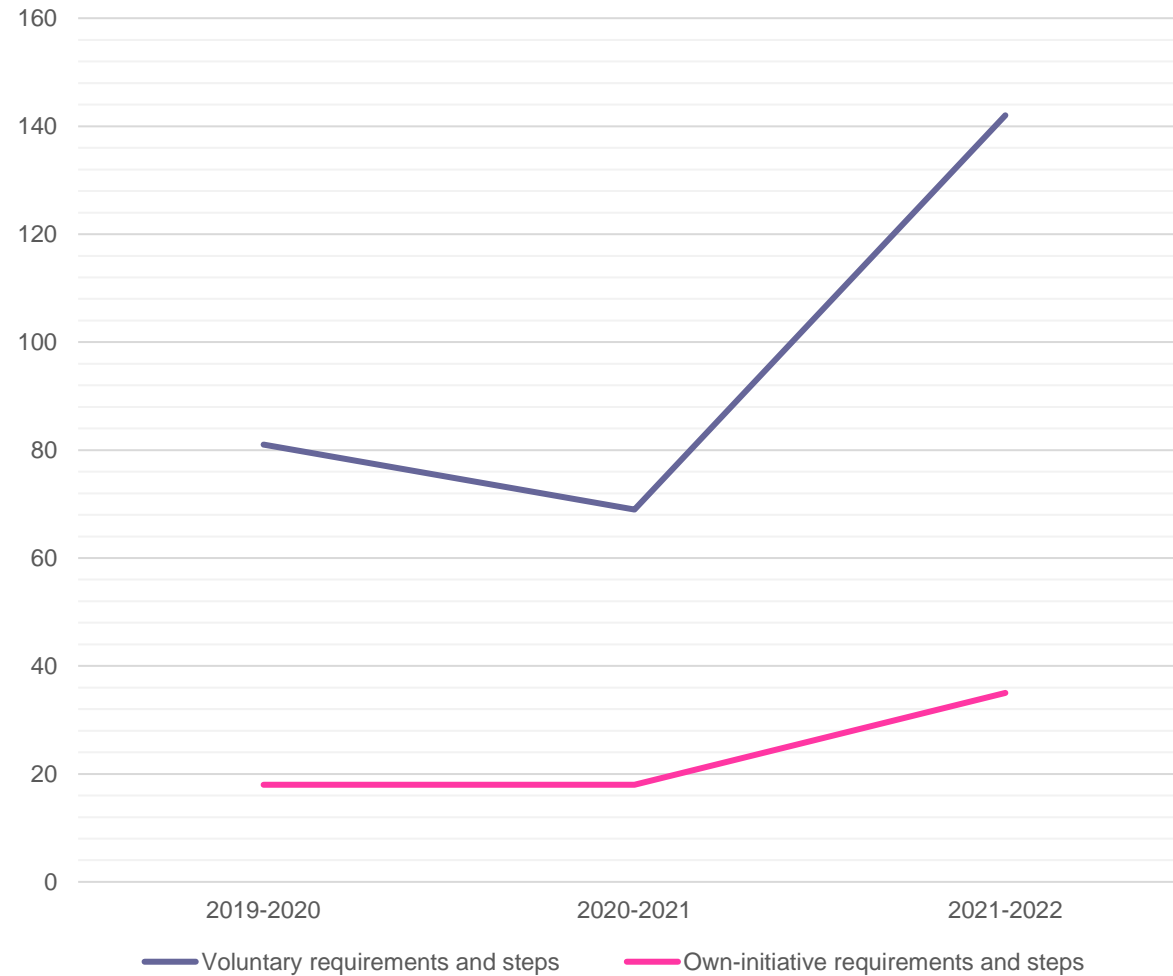
# Interventions and Enforcement cases open at 1 Apr 2022, by type



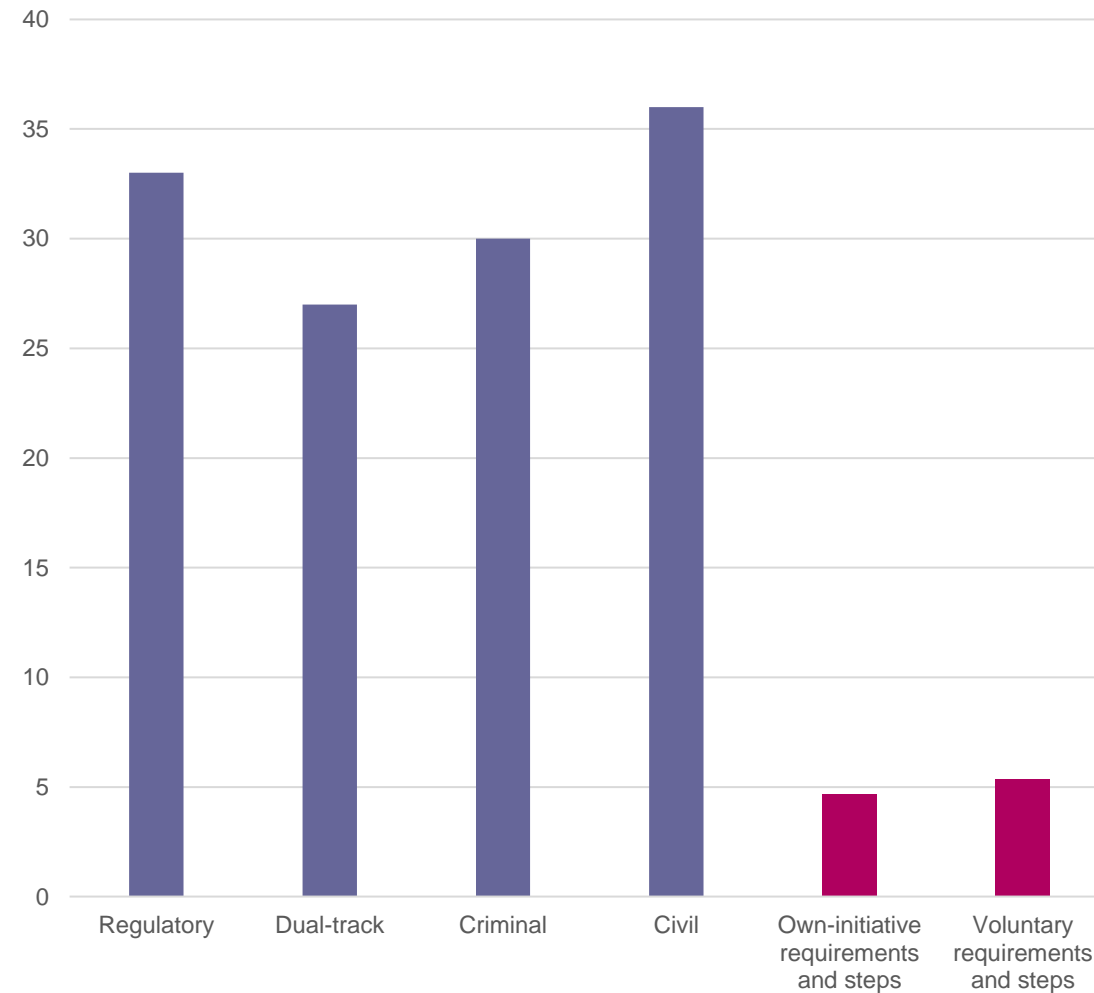
# Interventions and Enforcement cases opened/closed in 2021-22



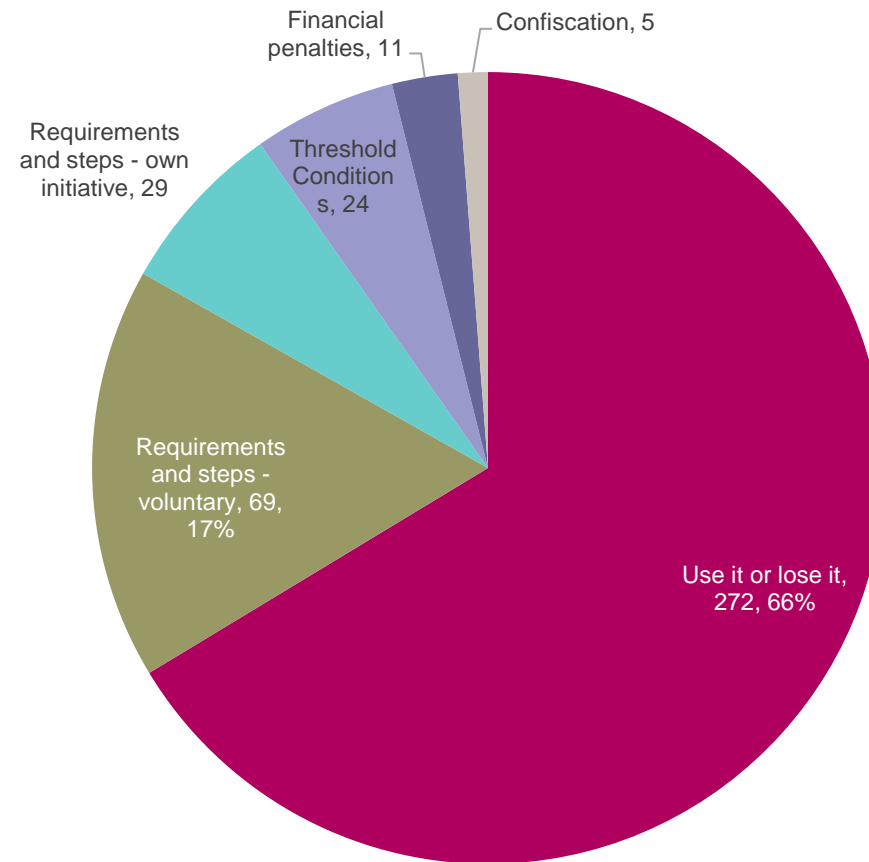
# Interventions cases opened by year



# Interventions and Enforcement cases – closed in 2021-22 – average duration (months)

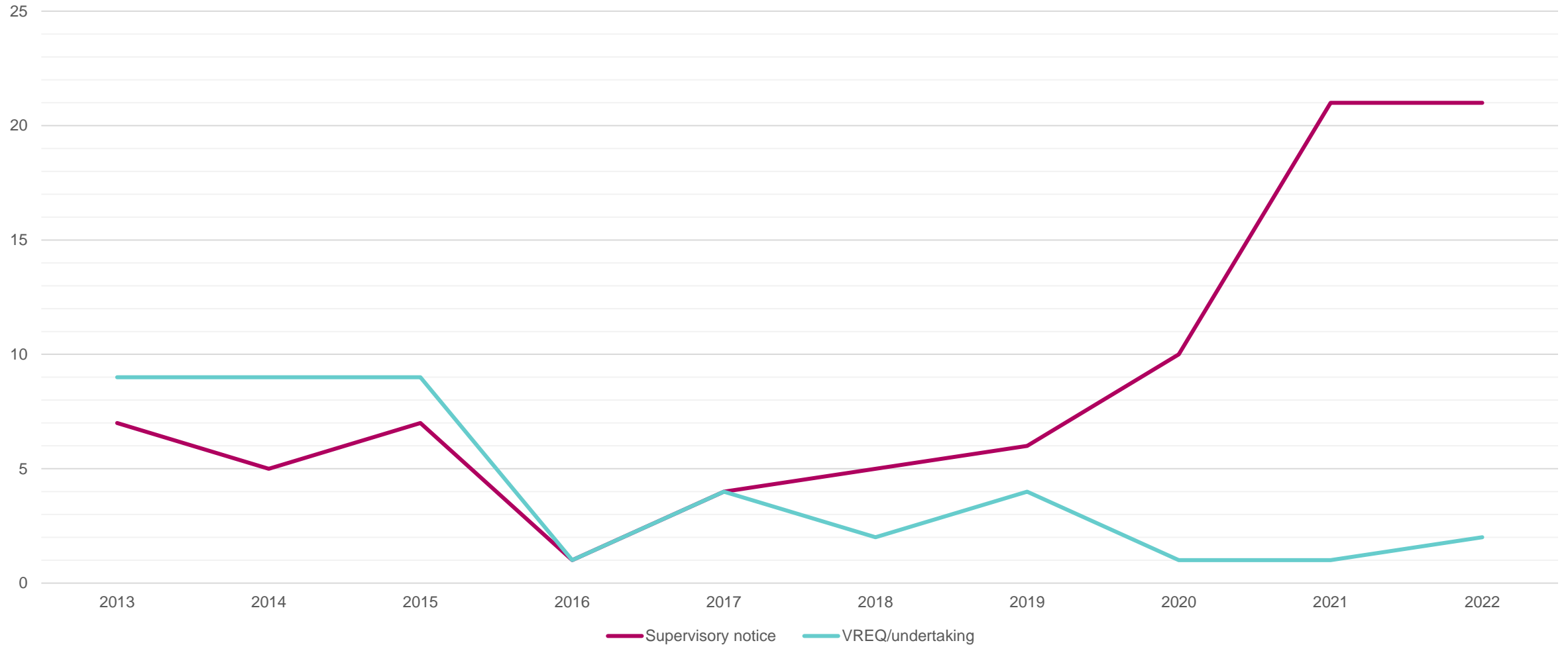


# FCA Interventions and Enforcement actions 2021-22



# Published FCA supervisory interventions by year

(2022 data to 1 Aug, then pro-rated to full year.)



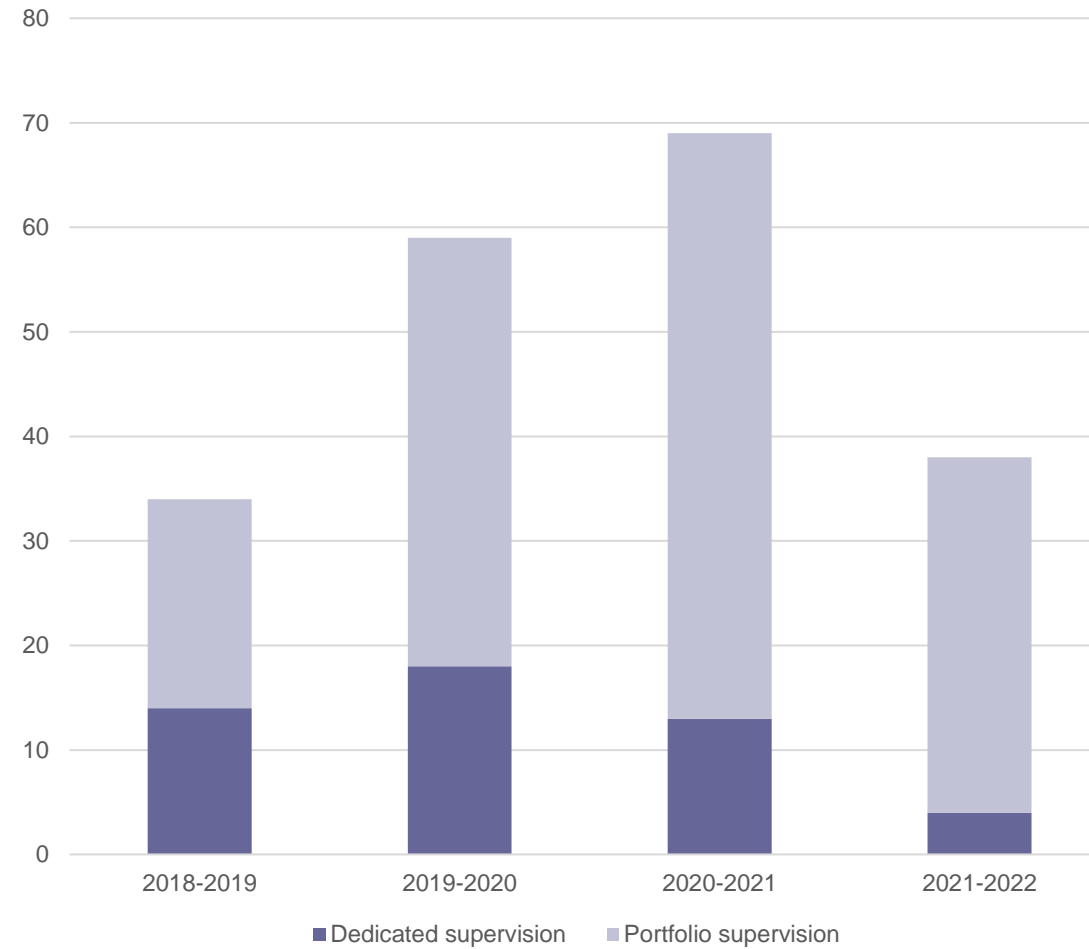


# Skilled Persons

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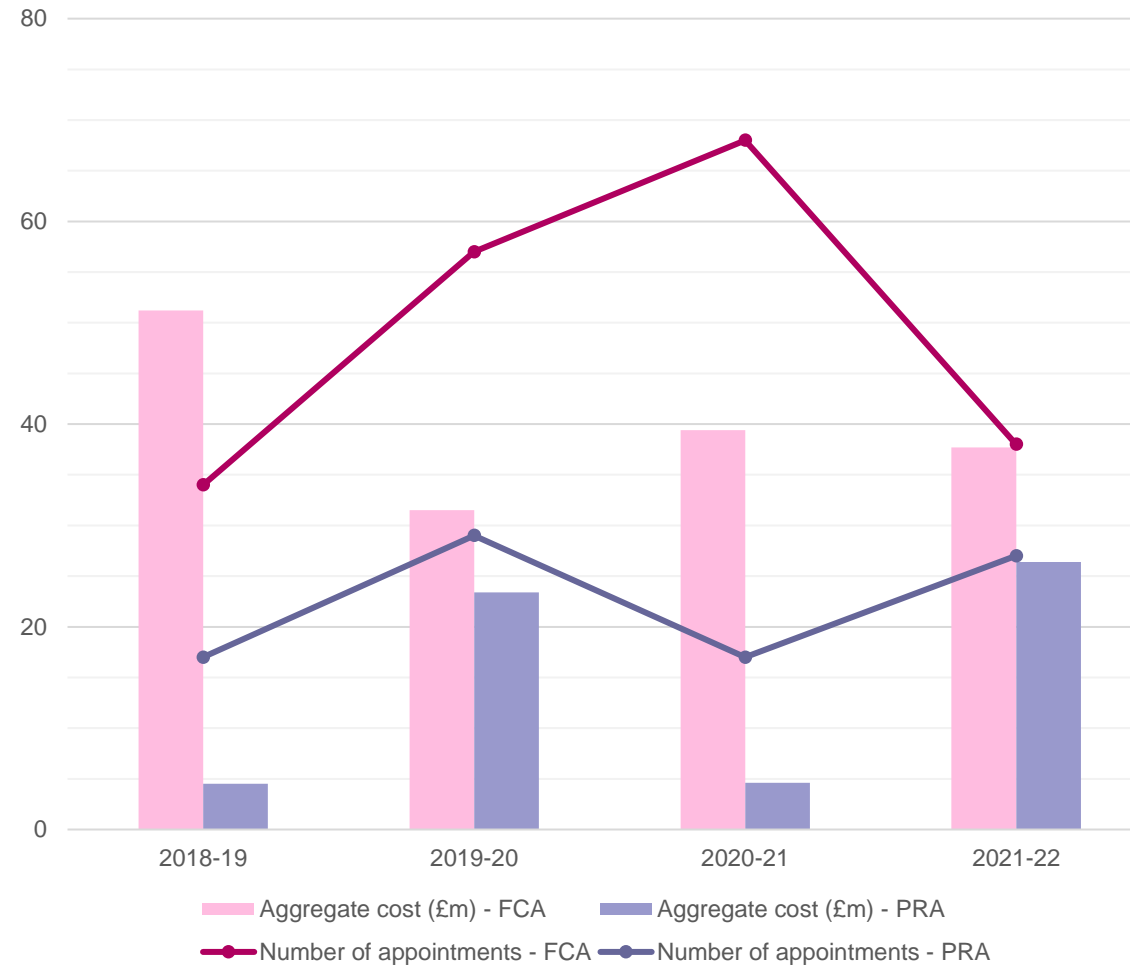


# FCA Skilled Person commissions by supervision category

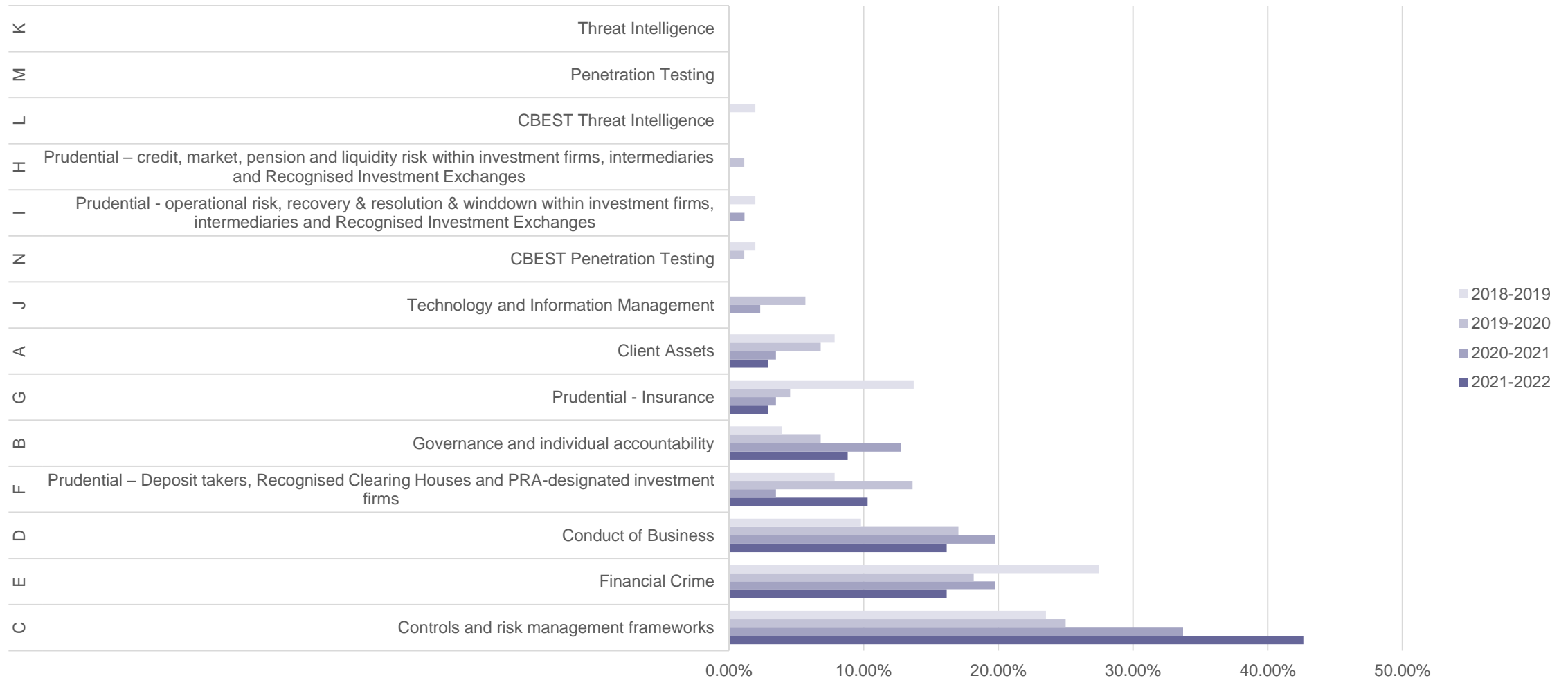


# FCA and PRA Skilled Person commissions – number and cost

(By regulators' reporting years FCA Apr-Mar; PRA Mar-Feb.)

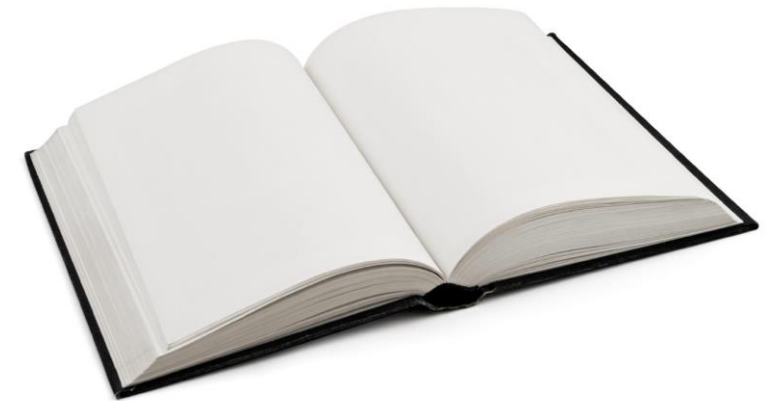


# FCA and PRA Skilled Person commission by Lot – proportion of all commissions in each reporting year



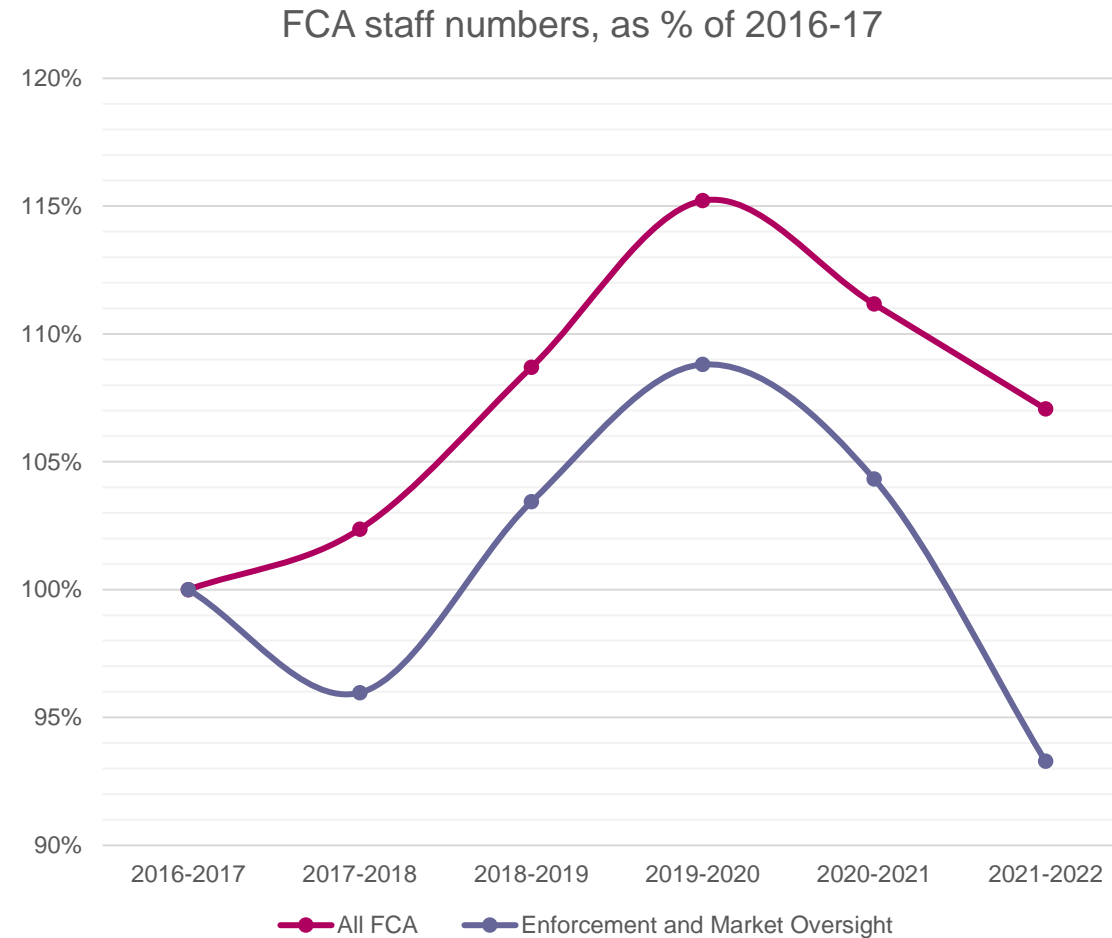
# FCA Enforcement cases

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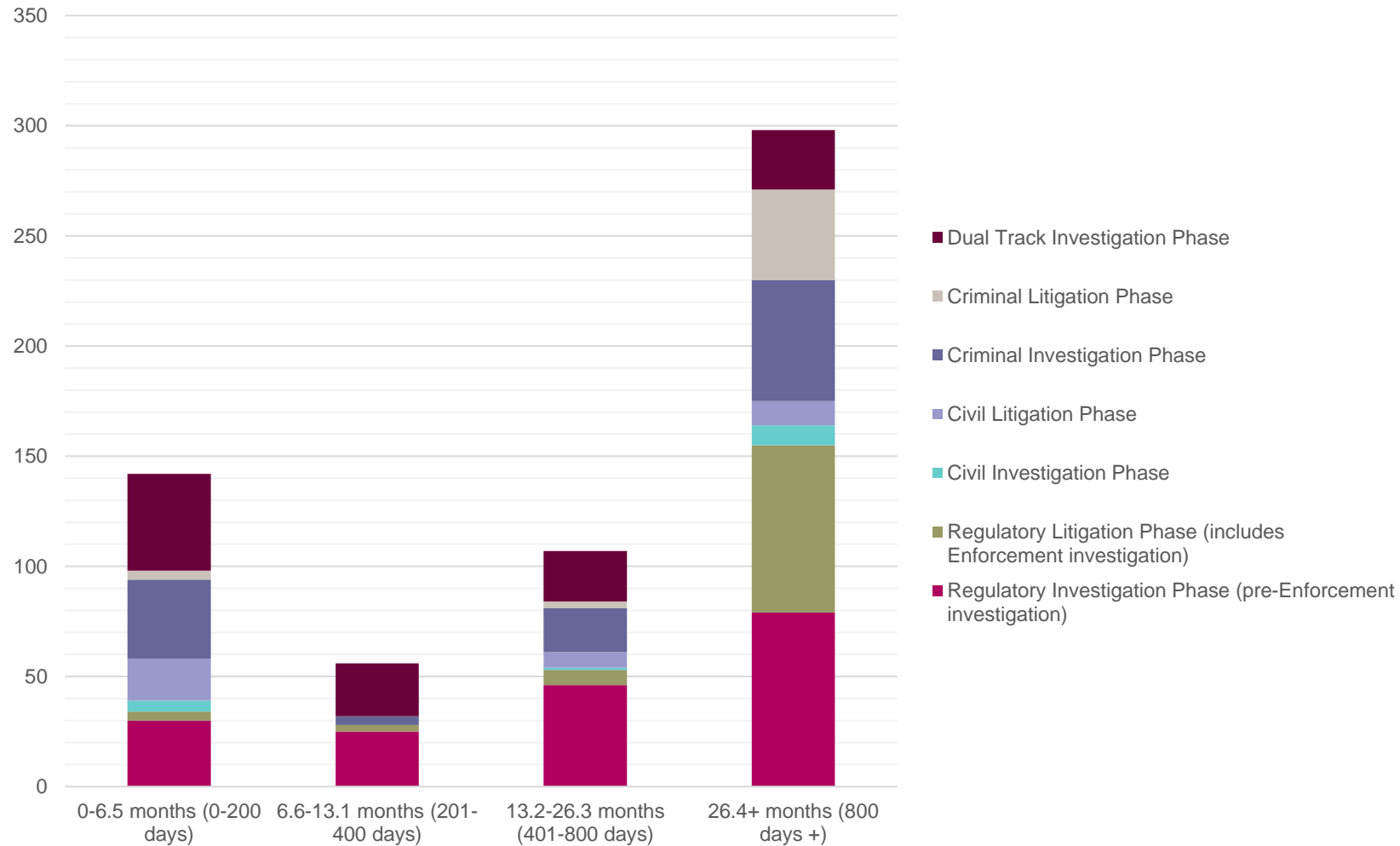


# Staff numbers: All FCA vs Enforcement and Market Oversight

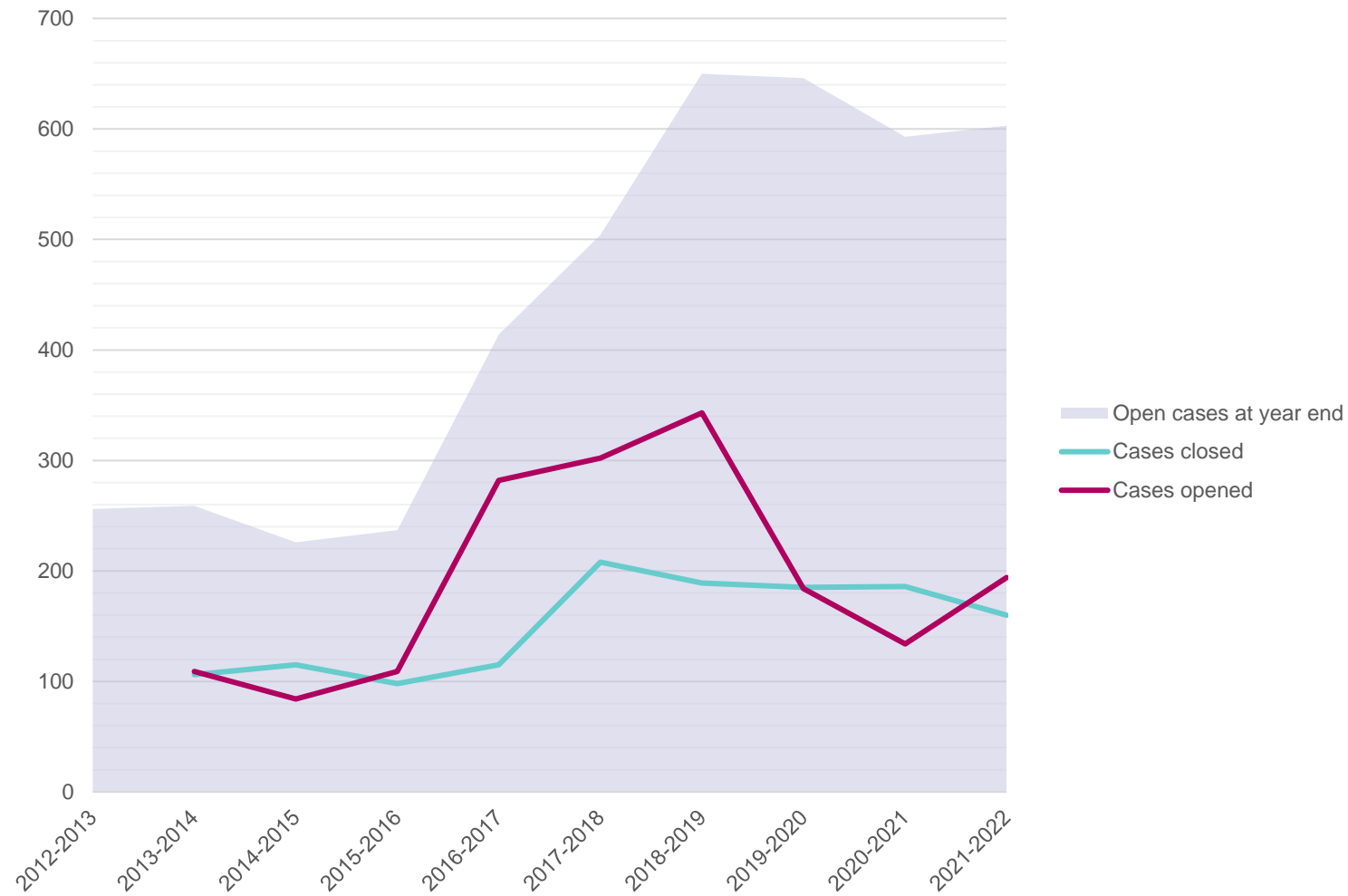
(as % of 2016-17)



# FCA Enforcement cases by age and phase reached



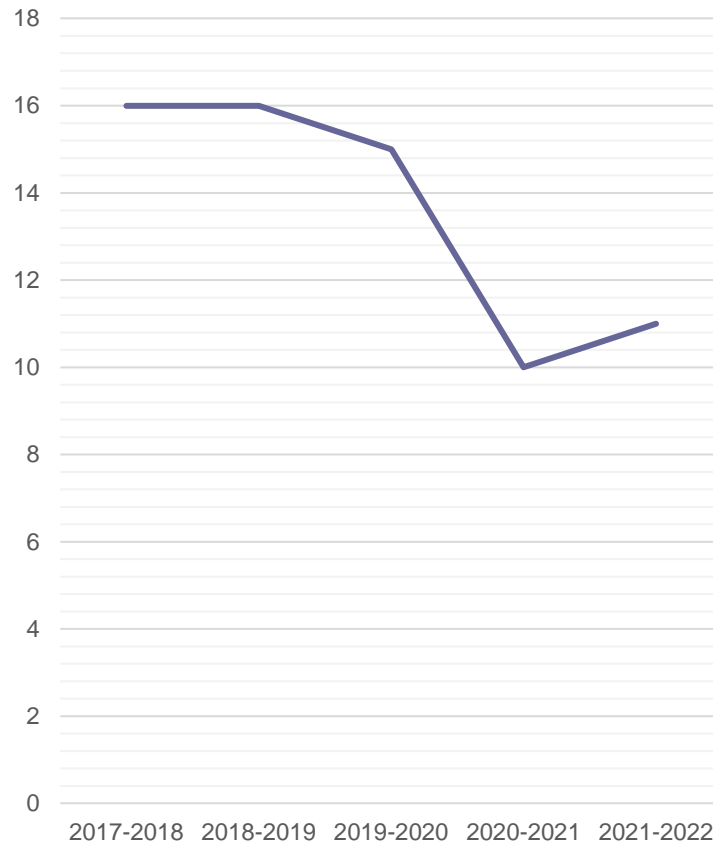
# FCA Enforcement case movements



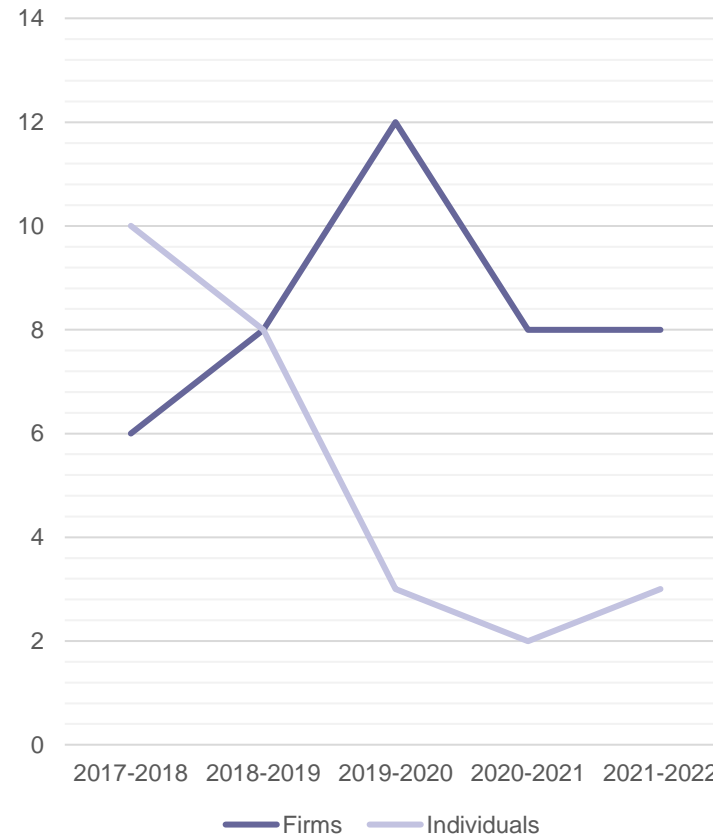


# FCA financial penalties

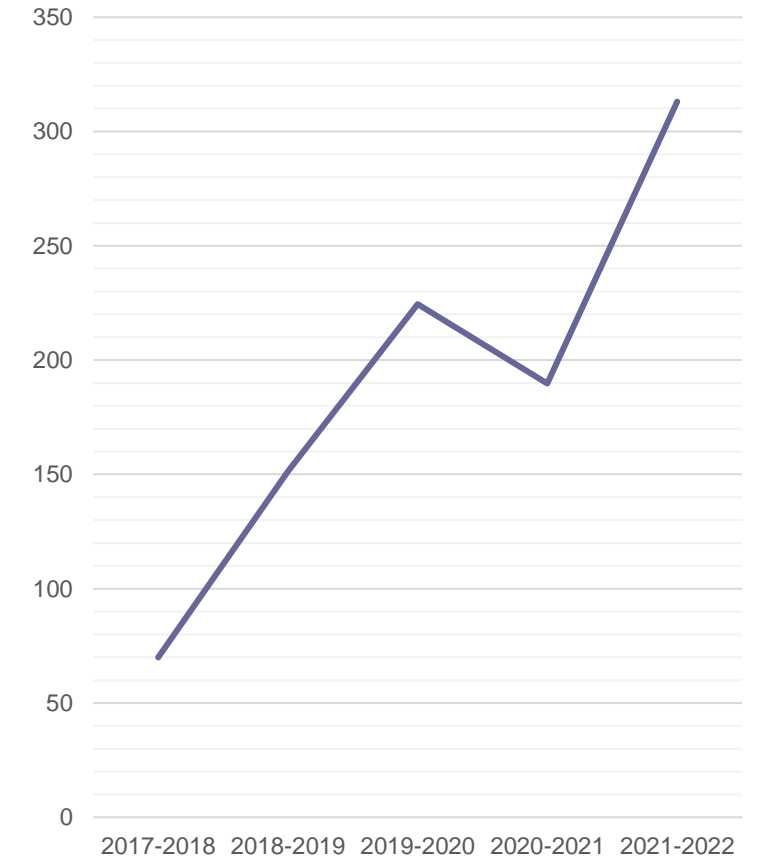
FCA Enforcement - number of financial penalties



FCA Enforcement - number of financial penalties by subject type

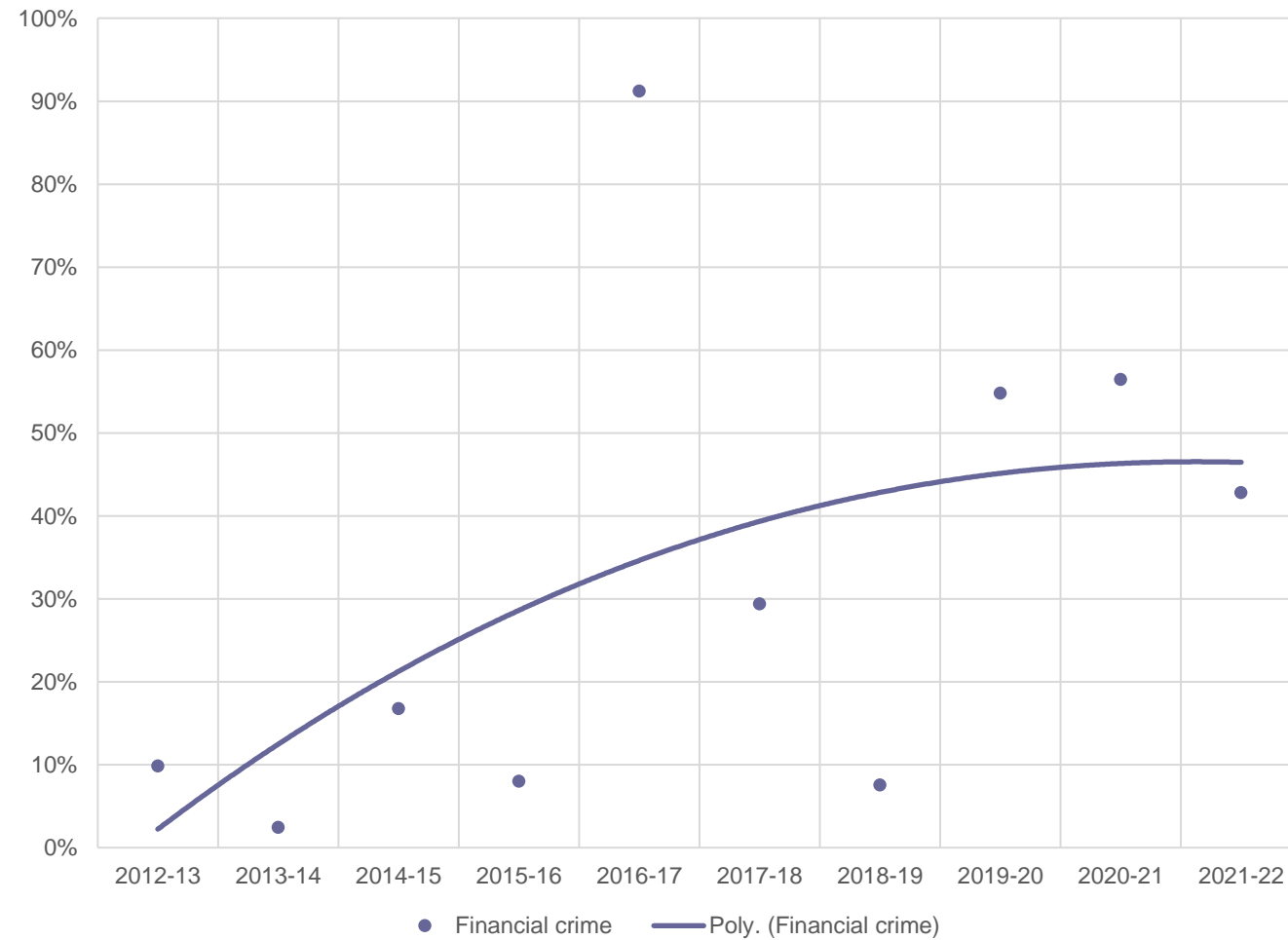


FCA financial penalties (total £m)  
(excludes 2018-19 Keydata/Own/Ford disgorgement)

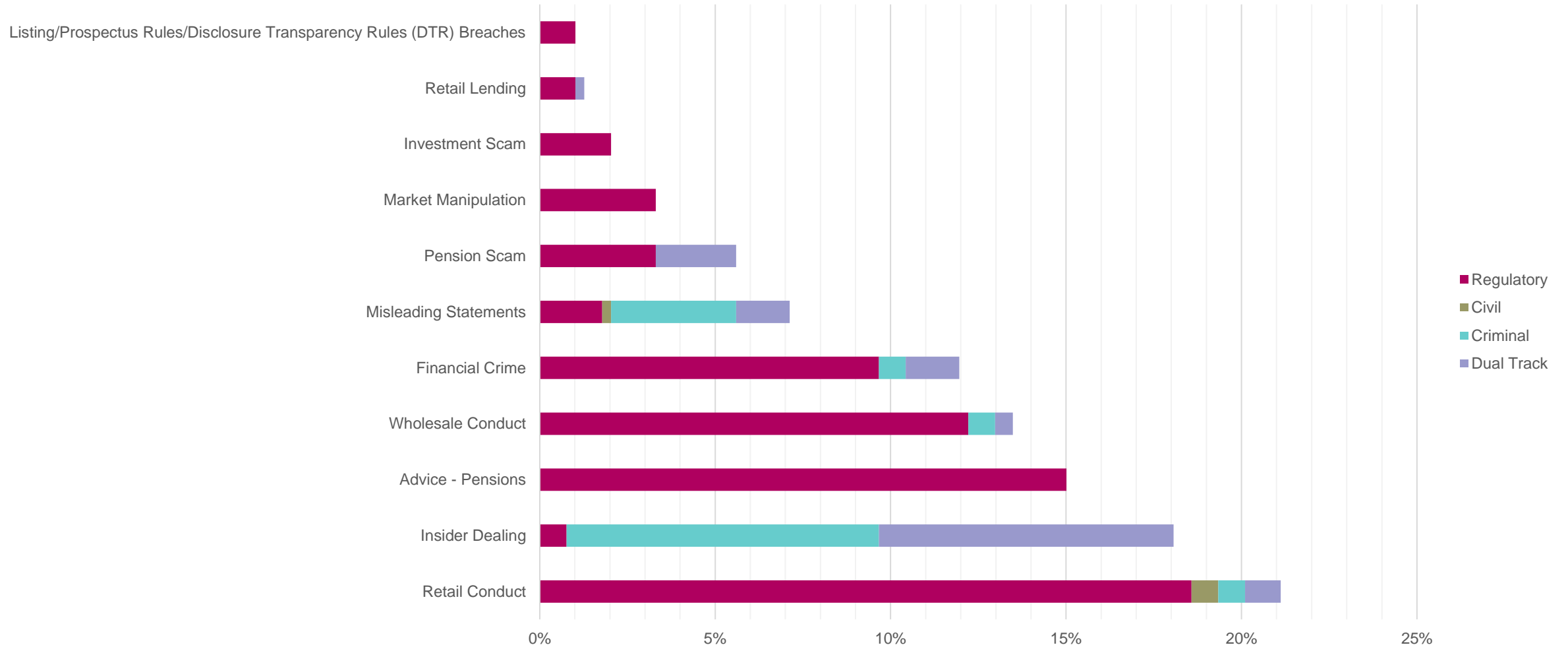


## Total GBP FCA/PRA fines, financial crime as % of total, by reporting year, with trendline

(Reporting year: FCA Apr-Mar; PRA Mar-Feb)



# FCA Enforcement cases open at 1 Apr 2022, by primary issue % of all FCA Enforcement cases open (excluding unauthorised business)



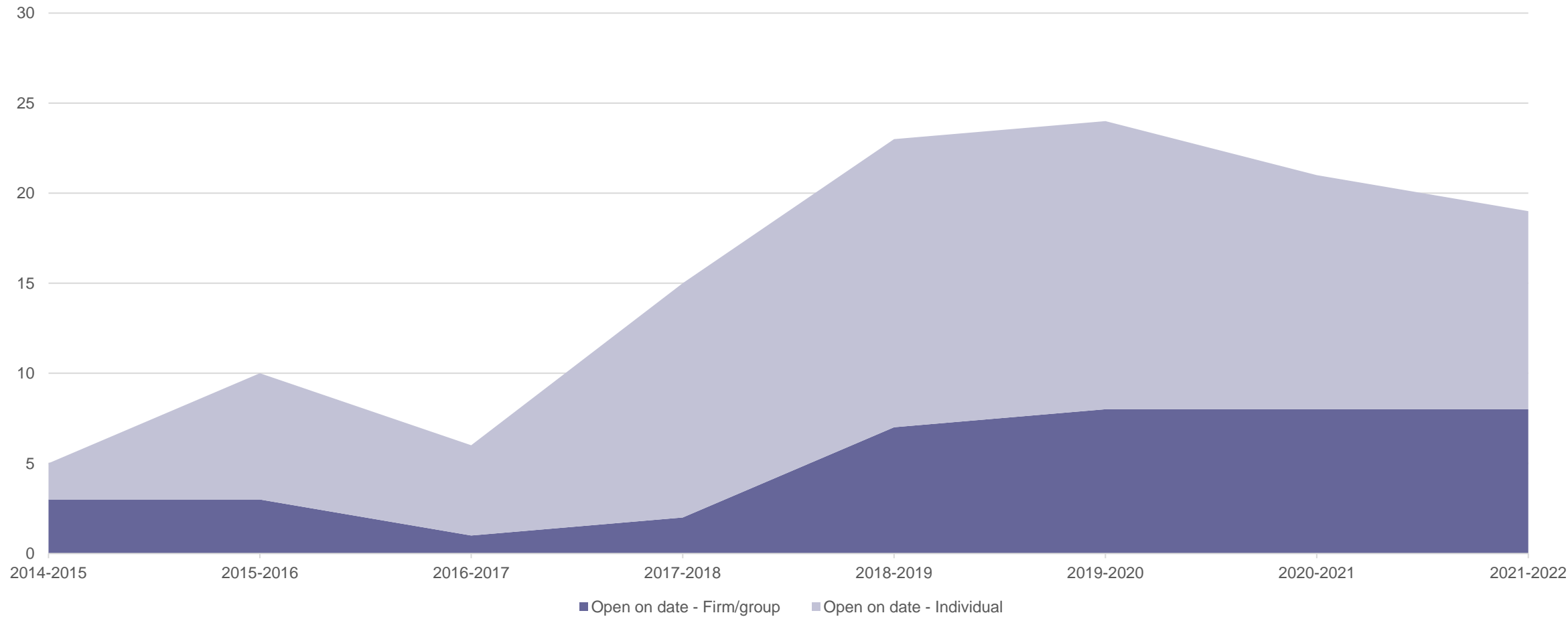
# PRA Enforcement cases

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# Open PRA investigations

Number of open PRA investigations each reporting year

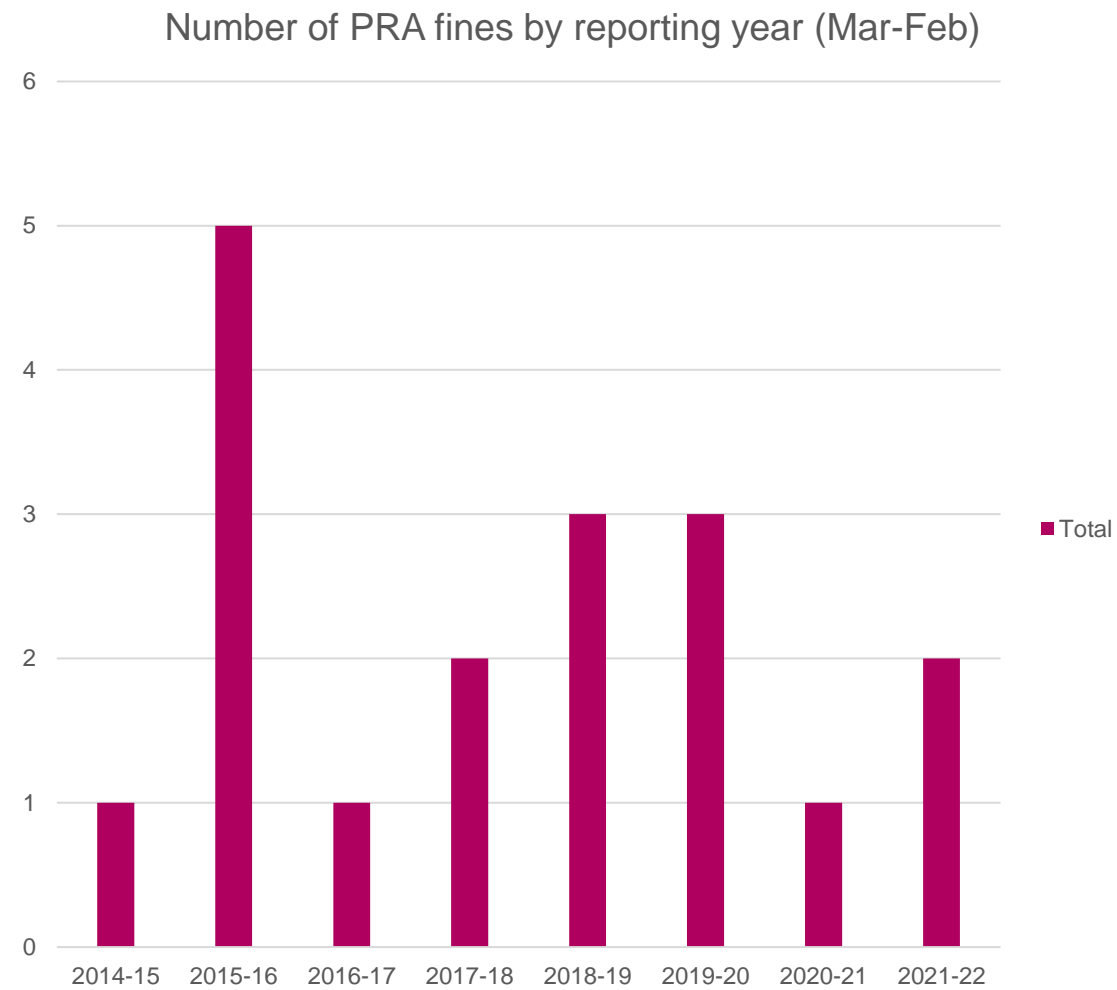
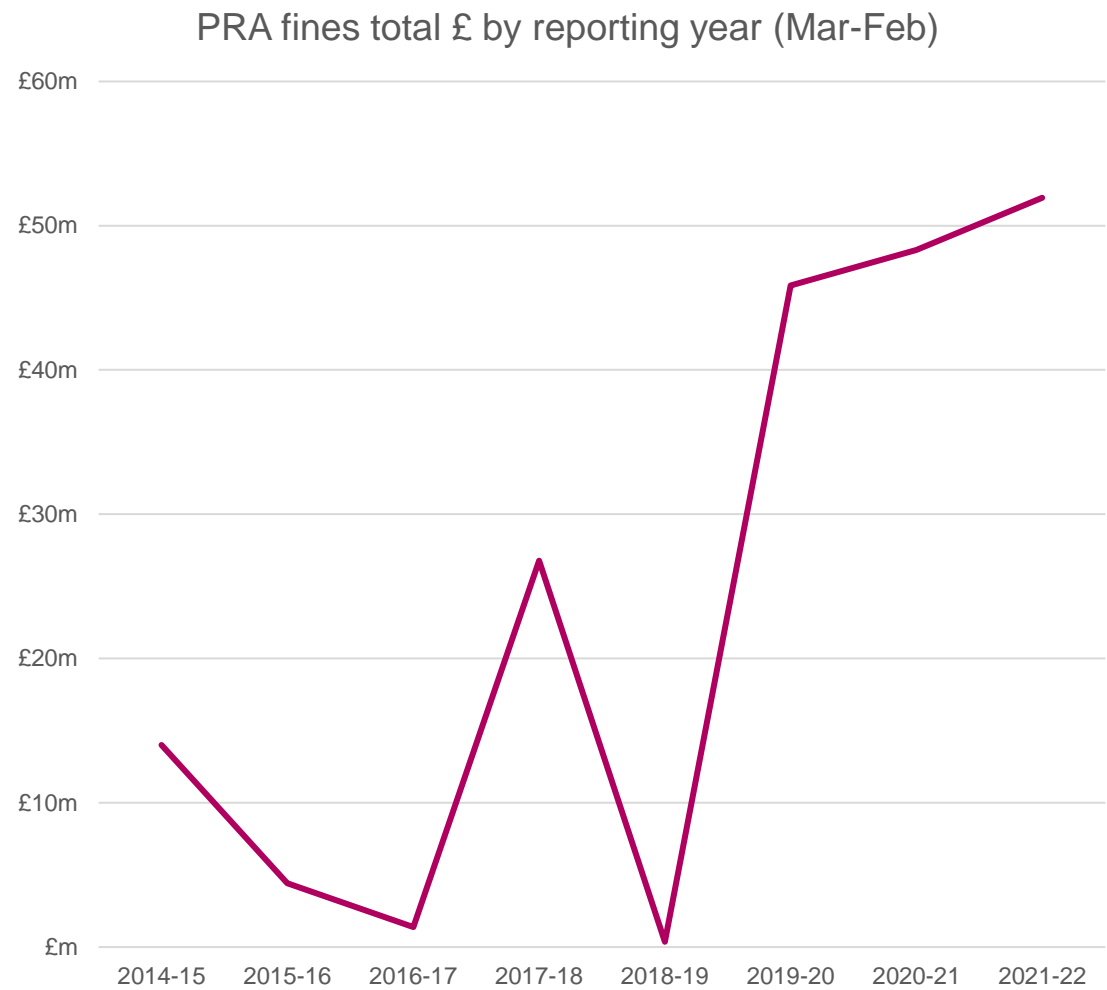


# Open PRA investigations, and when investigations were opened

(By reporting period Mar-Feb. Investigations opened: available data only; PRA has made incomplete reports.)



# PRA financial penalties



# FCA work on financial promotions

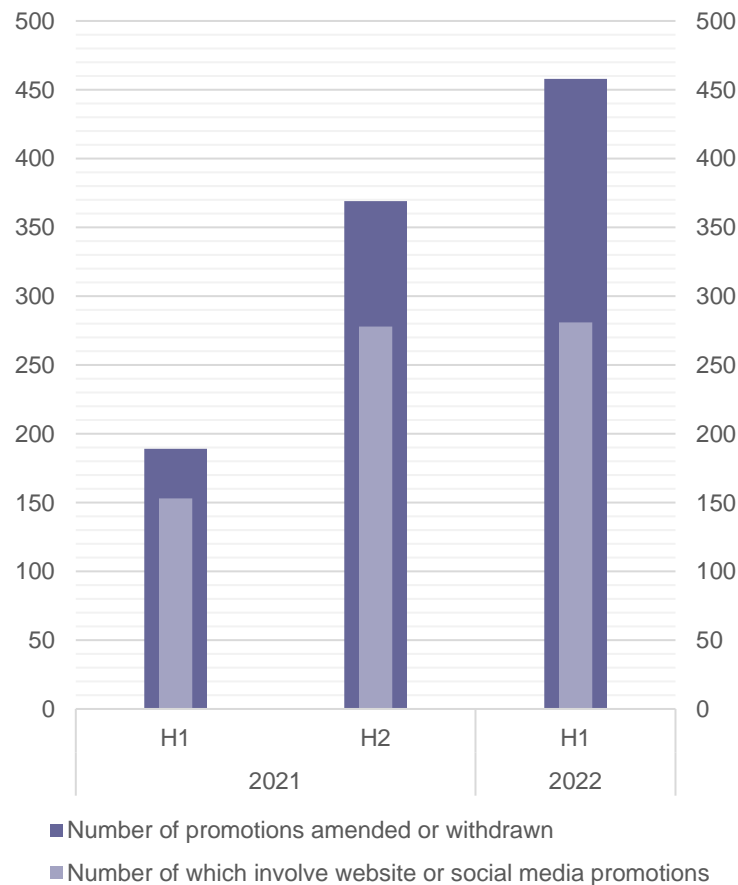
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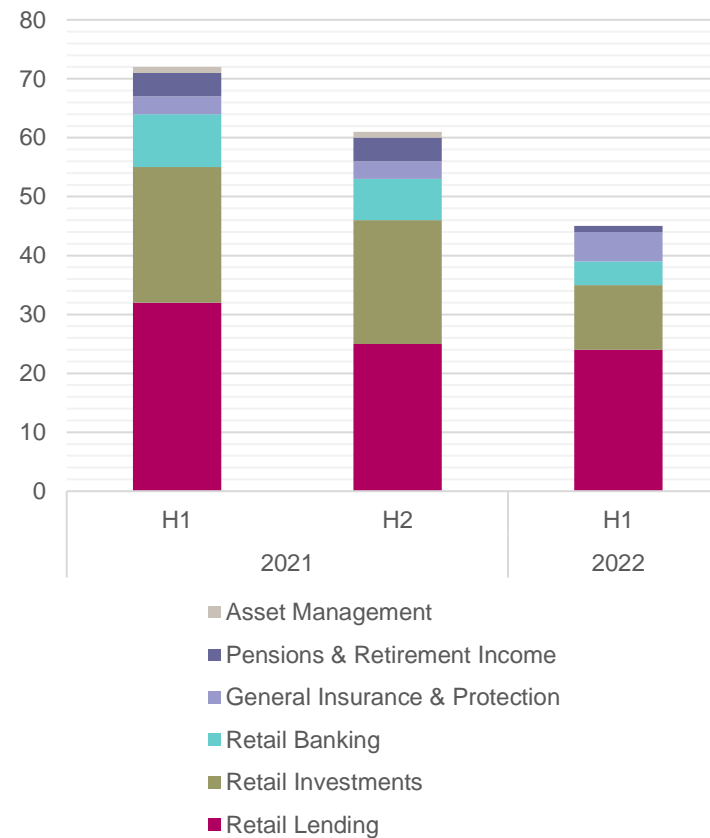


# FCA work on financial promotions

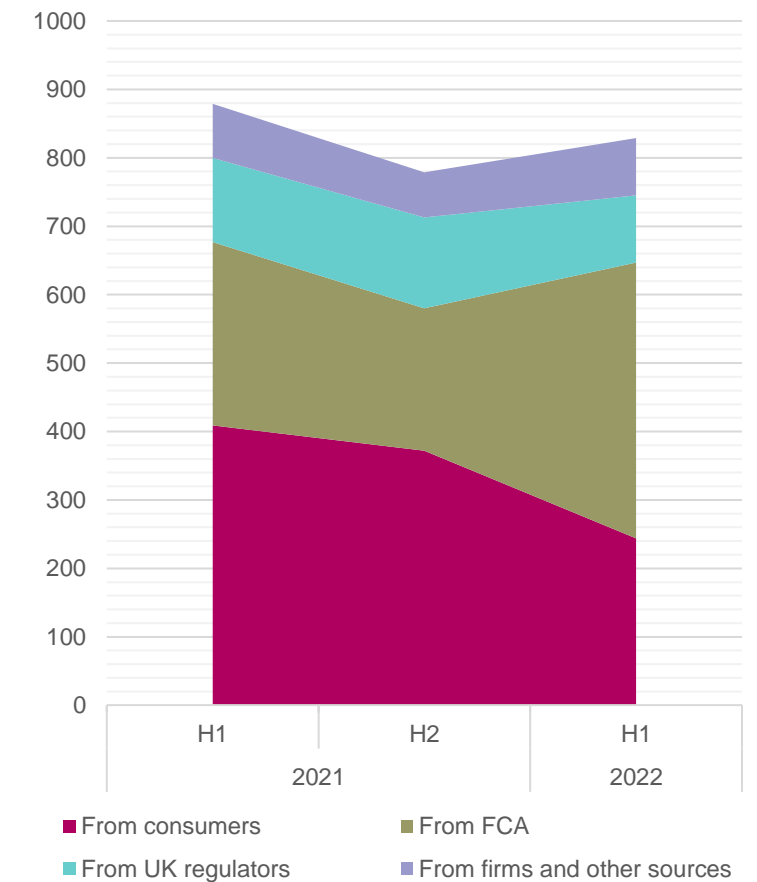
FCA action – promotions amended or withdrawn



FCA action – cases resulting in promotion being amended or withdrawn – by firm type



FCA action – promotions reviewed – by source of referral for review



# Contacts

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