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[by email]

16 May 2018

Our Ref: FOI5726

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:

- "1. The number of whistleblowing cases opened as a result of phone calls, emails and letters in each calendar year from 2014 to 2017.*
- 2. The conclusion of all whistleblowing cases in each of the above years.*
- 3. The number of "forwarded items" - whistleblower information the FCA passed to external agencies - in each of the above years.*
- 4. If held, could you please also break all of the above down by the type of wrongdoing alleged".*

Your request has now been considered and I will answer each question in turn below.

1. The number of whistleblowing cases opened as a result of phone calls, emails and letters in each calendar year from 2014 to 2017

Year	Calls	Emails	Letters	Other	Total
2014	518	588	171	83	1360
2015	434	428	155	88	1105
2016	359	349	80	79	867
2017	366	529	103	49	1047

2. The conclusion of all whistleblowing cases in each of the above years

Outcome	2014	2015	2016	2017
Intelligence directly contributed to FCA enforcement activity or the	28	34	22	16

protection of consumers through other intervention.				
Intelligence was of significant value to the FCA and contributed to the discharge of its functions	288	315	282	126
Intelligence was, or may be, of value to the FCA but is not currently actionable or does not meet current regulatory risk thresholds.	685	533	396	284
Intelligence was of little value and is unlikely to assist the FCA in the discharge of its functions.	140	83	55	83
Not yet assessed or no outcome	219	140	112	538

3. The number of "forwarded items" - whistleblower information the FCA passed to external agencies - in each of the above years

Year	Forwarded Externally
2014	178
2015	257
2016	183
2017	157

4. If held, could you please also break all of the above down by the type of wrongdoing alleged

Subject/Allegation	2014	2015	2016
Competition	3		
Consumer Credit	73	45	26
Consumer Detriment	201	129	130
Crime	125	87	62
Culture of Organisation	244	165	125
Fitness & Propriety	227	213	190
FX Related	20	11	6
Market Activity	69	57	33
Non-regulated products	58	32	16
Pension	39	37	20
Remuneration and Incentivisation	76	33	26
Systems and Controls	111	152	86
Treating Customers Fairly	67	57	44
Blank	45	85	85
Money Laundering Concerns	1	0	0
Other	1	0	0
N/A	0	1	1
N/K	0	1	15
Claims Management	0	0	1
Crime & Regulatory	0	0	1
Total	1360	1105	867

In 2017, we introduced a new case management system that allowed us to expand the range of allegations we recorded, and record more than one allegation per disclosure. Therefore, you will note that the total number of allegations (1422) exceeds the total number of cases:

Allegation 2017	Subject/Allegation
AML	25
Benchmarks	5
Bribery and Corruption	15
Client Assets	10
Competition	2
Compliance	66
Consumer credit	50
Consumer Detriment	130
Crime	11
Culture of organisation	134
Data Security	28
Fitness & Propriety	241
Fraud	109
FSMA	73
FX-related	5
Insider Dealing	24

KYC	9
Market Activity	19
Market Manipulation	20
Mis-Selling	36
Money Laundering	25
Non-regulated products	1
Pension	26
Pressure Selling	37
Remuneration and incentivisation	10
Senior Managers Regime	4
Systems & Controls	166
Treating customers fairly	76
Unauthorised Business	65
Total	1422

Yours sincerely

Information Disclosure Team