

Allegation Subject	2014 Jan to Mar	2014 Apr to Jun	2014 Jul to Sept	2014 Oct to Dec	2015 Jan to Mar	2015 Apr to Jun	2015 Jul to Sept	2015 Oct to Dec
AML	0	0	0	0	0	0	0	0
Benchmarks	0	0	0	0	0	0	0	0
Bribery & Corruption	0	0	0	0	0	0	0	0
Claims Management	0	0	0	0	0	0	0	0
Client Assets	0	0	0	0	0	0	0	0
Competition	1	2	0	0	0	0	0	0
Compliance	0	0	0	0	0	0	0	0
Consumer Credit	3	16	29	25	16	8	10	11
Consumer Detriment	58	31	78	34	24	40	32	33
Crime	37	27	30	31	30	32	10	15
Culture of organisation	83	59	56	46	40	44	47	34
Data Security	0	0	0	0	0	0	0	0
Fitness & Propriety	31	63	66	67	52	65	58	38
Fraud	0	0	0	0	0	0	0	0
FSMA	0	0	0	0	0	0	0	0
FX-related	3	5	4	8	0	5	3	0
Insider Dealing	0	0	0	0	0	0	0	0
KYC	0	0	0	0	0	0	0	0
Market Activity	18	14	21	16	25	21	6	5
Market Manipulation	0	0	0	0	0	0	0	0
Mis-selling	0	0	0	0	0	0	0	0
Money Laundering concerns	0	0	0	1	0	0	0	0
Non-regulated products	7	23	14	14	14	8	7	3
OPBAS AML	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
Pension	13	10	9	7	14	8	9	6
Pressure Selling	0	0	0	0	0	0	0	0
Remuneration and incentivisation	11	30	19	16	8	12	6	7
Senior Manager Regime	0	0	0	0	0	0	0	0
Sexual Harrasment	0	0	0	0	0	0	0	0
SYSC 18	0	0	0	0	0	0	0	0
Systems & Controls	24	25	25	37	46	38	35	33
Terrorist Finance	0	0	0	0	0	0	0	0
Treating Customers Fairly	16	27	6	18	19	12	12	14

Unauthorised Business	0	0	0	0	0	0	0	0
Unspecified	18	14	7	7	14	24	21	31
TOTAL	323	346	364	327	302	317	256	230
Total Cases	323	346	364	327	302	317	256	230

Reported internally	2014 Jan to Mar	2014 Apr to Jun	2014 Jul to Sept	2014 Oct to Dec	2015 Jan to Mar	2015 Apr to Jun	2015 Jul to Sept	2015 Oct to Dec
Yes	47	62	78	77	57	63	64	58
No	229	247	276	239	230	214	164	138
Not Known	47	37	10	11	15	40	28	34
Total	323	346	364	327	302	317	256	230
Total Cases	323	346	364	327	302	317	256	230

2016 Jan to Mar	2016 Apr to Jun	2016 Jul to Sept	2016 Oct to Dec	2017 Qtr1	2017 Qtr2	2017 Qtr3	2017 Qtr4	2018 Qtr1	2018 Qtr2	2018 Qtr3	2018 Qtr4
0	0	0	0	11	4	5	4	9	8	7	11
0	0	0	0	1	1	3	0	0	0	0	0
0	0	0	0	6	1	3	6	2	4	2	1
0	0	0	1	0	0	0	0	0	0	0	0
0	0	0	0	1	1	4	4	3	8	5	3
0	0	0	0	0	0	2	0	3	0	1	0
0	0	0	0	21	11	12	19	24	20	39	24
12	8	4	2	17	8	17	8	7	11	3	6
33	39	31	27	34	32	41	24	17	34	33	30
18	16	13	15	7	0	1	3	4	2	5	3
24	38	35	28	31	26	46	29	35	39	39	23
0	0	0	0	9	8	7	4	20	13	18	16
40	35	58	57	57	62	69	51	71	68	87	75
0	0	0	0	36	28	29	18	34	30	16	29
0	0	0	0	27	15	16	18	17	20	17	18
0	0	4	2	1	3	0	1	1	0	1	0
0	0	0	0	2	3	7	11	4	3	8	3
0	0	0	0	7	0	4	1	5	7	5	1
5	9	7	12	4	6	2	7	2	8	6	1
0	0	0	0	6	11	1	2	12	4	16	9
0	0	0	0	10	6	11	10	18	11	12	13
0	0	0	0	5	4	11	6	8	8	11	1
2	6	6	2	0	0	0	1	0	0	1	0
0	0	0	0	0	0	0	0	0	0	1	0
0	0	0	0	0	0	0	0	0	0	0	0
3	7	4	6	5	7	4	7	13	4	2	3
0	0	0	0	13	3	7	12	17	8	16	8
6	13	2	5	5	1	2	2	8	6	2	0
0	0	0	0	3	1	0	1	0	0	1	0
0	0	0	0	0	0	0	0	0	0	3	2
0	0	0	0	0	0	0	0	0	1	14	4
32	25	13	16	41	46	46	33	35	36	41	34
0	0	0	0	0	0	0	1	2	1	2	1
16	18	4	6	17	14	20	23	67	52	65	62

0	0	0	0	13	22	18	12	13	17	11	10
27	24	27	23	0	0	0	0	0	0	0	0
218	238	208	202	390	324	388	318	451	423	490	391
218	238	208	202	265	233	295	254	324	279	249	278

2016 Jan to Mar	2016 Apr to Jun	2016 Jul to Sept	2016 Oct to Dec	2017 Qtr1	2017 Qtr2	2017 Qtr3	2017 Qtr4	2018 Qtr1	2018 Qtr2	2018 Qtr3	2018 Qtr4
55	77	49	67	66	31	59	49	88	77	91	79
137	124	86	80	33	27	34	50	98	70	67	78
26	37	73	55	166	175	202	155	138	132	91	121
218	238	208	202	265	233	295	254	324	279	249	278
218	238	208	202	265	233	295	254	324	279	249	278

TOTAL

59

5

25

1

29

9

170

221

705

299

802

95

1170

220

148

41

41

30

195

61

91

55

108

1

0

141

84

161

6

5

19

661

7

488

116

237

6506