

Email: foi@fca.org.uk

[By email]

05 February 2019

Our Ref: FOI6156

Freedom of Information: Right to know request

Thank you for your request on 17 December 2018 under the Freedom of Information Act 2000 (the Act), for the following information:

"Under the Freedom of Information Act, I would like to know about the number of reports from whistleblowers that the FCA has received (see here: <https://www.fca.org.uk/firms/whistleblowing>)

- *I would like to know the number of whistleblowing reports that the FCA has received*
 - *Could you please break this number down by the 'type' of wrongdoing that is being reported – please use whichever categories/breakdown the FCA currently uses*
 - *If possible, could you also tell me how many of these reports were made "internally"*

I would like this data broken down for the last 20 quarters (i.e. five years), using the most recent quarter end date that is available (preferably Sep 30 2018). If you are not able to provide information for the last 20 quarters, please provide it for the last 12 (ie three years)."

Where you state, "If possible, could you also tell me how many of these reports were made "internally"" you have confirmed in your clarification response on 8 January 2019, that this means:

- *The number of reports that were disclosed, by the whistle-blower, to the firm in question, as well as to the FCA Whistleblowing Team.*

Your request has now been considered and the relevant information you have requested is attached.

Please note, in 2017 we introduced a new case management system that allowed us to record multiple allegations for each individual case. This means that the total number of allegations is greater than the number of cases for the period 2017 to 2018. Prior to this, we only recorded one allegation per case. So the total number of allegations and total number of cases are the same for the period 2014 to 2016.

If you are unhappy with the decision made in relation to your request, you have the right to request an internal review. If you wish to exercise this right you should contact us within 60 working days of the date of this response.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF. Telephone: 01625 545 700. Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team