

(By email)

5<sup>th</sup> February 2019

Our Ref: FOI6185

### **Freedom of Information: Right to know request**

Thank you for your request under the Freedom of Information Act 2000 ("the Act") dated 08 January 2019 for the following information:

*"How many notifications of data breaches (or whichever term the FCA uses) were reported by financial services companies to the FCA?"*

*I would like the data broken down by the type of financial services companies – please use whatever categories the FCA uses.*

*I would also like the figures broken down by calendar year, for the five most recent years – 2018, 17, 16, 15, 14. If these data for the last five years is not possible, please provide the data for the last three."*

Before considering your request, it may be helpful to know that for the purposes of this request, we define 'data breach' as 'a confirmed incident in which the confidentiality of company or personal data is breached'.

Your request has been considered and our response is set out in Annex A and B below.

Please note; The FCA started to collect notifications in relation to data breaches in a central repository for 2015 onwards. Therefore, the data provided under Annex A is data collected under the headings listed, for the last 4 years (2015-2018). The information for 2014 was not held centrally, however some information which you may find helpful was collected regarding a previous request. This is attached in Annex B.

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 three months 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](http://www.ico.org.uk)

Yours sincerely

**Information Disclosure Team**

## **Annex A**

*A breakdown of reported data breaches by year, month is set out below;*

	2018	2017	2016	2015
<b>Jan</b>	4			
<b>Feb</b>	12	1		1
<b>March</b>	11	4	1	
<b>April</b>	13	3	1	
<b>May</b>	13			1
<b>June</b>	20	1		
<b>July</b>	18	5		1
<b>Aug</b>	14	3		1
<b>Sep</b>	12	4	1	
<b>Oct</b>	12	1	1	
<b>Nov</b>	8	3	3	
<b>Dec</b>	8			
<b>Total</b>	<b>145</b>	<b>25</b>	<b>7</b>	<b>4</b>

*A breakdown of reported data breaches by year, month and financial sector (as defined within the FCA's 2019 sector views published on our [website](#)) is set out below;*

Sector	2018	2017	2016	2015
General Insurance & Protection	33	7	1	3
Pensions Savings & Retirement Income	9			
Retail Banking & Payments	25	1	1	1
Retail Investments	11		1	
Retail Lending	21	4	1	
Wholesale Financial Markets	34	3		
Investment Management	12	10	3	

*New reporting requirements came into force in January 2018 for firms subject to the second payment services directive which has resulted in an increase in the number of incidents reported to the FCA. Additionally, the introduction of the General Data Protection Regulation in May 2018 has increased firm's awareness of their reporting obligations regarding data breaches.*

## **Annex B**

<b>Month</b>	<b>Financial Advisers</b>	<b>Insurance</b>	<b>Lenders</b>	<b>Pensions</b>	<b>Total</b>
January 2014	0	0	0	0	0
February 2014	0	0	1	0	1
March 2014	0	0	0	0	0
April 2014	0	0	0	0	0
May 2014	0	0	0	0	0
June 2014	1	0	0	0	1
July 2014	0	0	0	0	0
August 2014	0	0	0	0	0
September 2014	0	1	0	0	1
October 2014	0	0	0	0	0
November 2014	0	0	1	0	1
December 2014	0	0	0	0	0