

Date: 27 January 2020

Our Ref: FOI6985

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 ("the Act") dated 06 January 2020 for the following information below;

"1. How many security/privacy incidents has the FCA investigated over the last year (November 30th, 2018 – November 30th, 2019)?

a. How many of these involved data breaches?

b. How many of these resulted in fines?

c. How many resulted in financial penalties, how many in other action, how many under investigation and how many had no action?

2. How many times has the FCA fined an organisation for incidents that have involved an employee working for an organisation intentionally or unintentionally causing a cyber breach or security/privacy incident?

a. If possible, of these incidents, please split them between intentional vs unintentional incidents

b. Of these investigations, how many resulted in fines / other sanctions?

3. How many times has the FCA investigated organisations for the misuse of confidential and / or personal data?

a. Of these investigations, how many resulted in fines / other sanctions?

4. If possible and within the time limits available, can you share any raw data that can be shared on these incidents (without going over the time limit, alternatively if it's possible to do this but not answer the other questions the raw data would be acceptable instead as well)?"

Your request has now been considered and our response is outlined below.

1. The FCA has investigated three security/privacy incidents over the last year (November 30th, 2018 – November 30th, 2019).
 - i) Two of these involved data breaches.
 - ii) These three investigations are currently ongoing.
2. The FCA has fined one organisation for an incident that has involved an employee working for an organisation, unintentionally, causing a cyber breach or security/privacy incident.
3. One investigation resulted into a fine, the full outcome can be seen here; [Tesco Personal Finance plc](#)
4. The FCA has investigated organisations six times for the misuse of confidential and / or personal data. The outcomes of these investigations can be seen in the table below;

Name	Final Outcome
Nationwide Building Society	Fine
Norwich Union Life	Fine
HSBC Life (UK) Limited	Fine
HSBC Insurance Brokers Limited	Fine

HSBC Actuaries and Consultants Limited	Fine
Zurich Insurance plc	Fine

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 40 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