

Email: foi@fca.org.uk

24 March 2020

Our Ref: FOI7131

Freedom of Information: Right to know request

Thank you for your Freedom of Information request dated 25 February 2020 relating to complaints against the FCA. This follows from a previous request (processed under reference FOI6618), details of which can be found in Annex A below. A copy of our final response can also be found on our Disclosure Log [here](#).

You have asked us for the full 2019 data as per FOI6618.

We have considered your request in line with the provisions of the Freedom of Information Act 2000.

When we responded to FOI6618, we advised that we had received 688 complaints made up of 1,007 allegations in 2018, and 1,051 complaints made up of 1,532 allegations for 2019 as at the date of our response (2 September 2019).

With the year now complete, in 2019 we received 1,642 complaints made up of 2,475 allegations. Please see the table in Annex B below for a breakdown of the figures using the categories recorded on our case management system.

Please note that, due to changes made on our case management system since our response to FOI6618, for example adding new allegations to existing cases, we can confirm that the 688 complaints received in 2018 were made up of 1,021 allegations. As previously advised, each complaint may have multiple allegations (which can all differ) so we categorise each allegation rather than each complaint.

If you are unhappy with this response, 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
Financial Conduct Authority

Annex A

"The FCA's Freedom of Information: right to know response FOI6281 dated 27th March 2019 states:

- 1. In 2018, 688 complaints were received*
- 2. In 2019, 311 complaints were received*

Please provide the latest year to date figures for 2019 as well as a breakdown of 2018 and 2019 figures using the categories the FCA uses to classify the complaints received about itself."

Annex B

Nature of allegation	2018	2019	Total
Abusive conduct	15	3	18
Adherence to service standards	3	2	5
Communication – Content	0	4	4
Communication – Frequency	0	3	3
Communication – Website	0	3	3
Communications	1	1	2
Competition	0	3	3
Conduct of Investigators	4	6	10
Delay in assigning a case officer	0	2	2
Delay in processing application / notification	15	7	22
Disclosure / confidentiality	17	21	38
Failure to act on information	75	596	671
Failure to spot problem	11	386	397
FS Register	1	36	37
General Insurance and Protection Policy	5	4	9
Handbook	3	11	14
Incorrect fees	9	7	16
Incorrect guidance / advice	53	54	107
Interview	0	5	5
Investment Management Policy	0	2	2
Lack of / poor communication	94	91	185
Late returns admin fee	50	32	82
Late returns admin fee – amount	3	4	7
Late returns admin fee – no system error	4	4	8
Length of call	0	1	1
Level of fees	15	12	27
Other	98	166	264
Pension and Retirement Income Policy	7	14	21
Poor customer service	125	102	227
Process – Complaints	0	15	15
Process – Contacting us	0	2	2
Process – Forms	0	7	7
Process – Handbook	0	4	4
Process – Timeline	1	102	103
Process – Website	0	5	5
Register error / problem	81	320	401
Retail Banking Policy	14	26	40
Retail Investment Policy	0	1	1
Retail Lending Policy	5	17	22
Service – Continuity	0	4	4
Service – Knowledge	0	2	2
Service – Support	0	12	12
Supervisory approach	153	36	189
System problem (CONNECT)	2	8	10
System problem (GABRIEL)	3	8	11
System problem (Invoicing)	2	1	3
Unhappy with a regulatory decision	25	13	38

Unhappy with length of time	2	4	6
Unhappy with the process	118	287	405
Website	3	13	16
Wholesale Financial Markets Policy	4	0	4
(blank)	0	6	6