

Date: 17 August 2020

Our Ref: FOI7468

Freedom of Information: Right to know request

Thank you for your email of 20 July 2020, in which you asked for information in relation to whistleblowing. Please see Annex A for full detail of your request.

We have processed your email in line with the provisions of the Freedom of Information Act 2000 and will answer each point in turn.

For point 1, the below table sets out the number of whistle cases reported to us since 1 January to 31 July 2020:

Months	Count
Jan	88
Feb	100
Mar	99
Apr	81
May	85
Jun	102
Jul	96
Grand Total	651

For point 2, we treat all received disclosures with the highest level of discretion but we can answer this question by Anonymous or Self-identified. Please see below table:

Contact Details	Count
Self-identified	526
Anonymous	125
Grand Total	651

For point 3, the table below sets out the types of concerns raised by whistleblowers between 1 January 2020 and 31 July 2020:

Allegation Subject
AML
Bribery & Corruption
Business Continuity Planning
Capital Adequacy
Competition
Compliance
Consumer Credit
Consumer Detriment
Covid 19
Crime
Culture of organisation
Data Security
Fitness & Propriety
Fraud
FSMA

Insider Dealing
KYC
Market Activity
Market Manipulation
Mis-selling
Non-regulated products
Pension
Pressure Selling
Remuneration and incentivisation
SYSC 18
Systems & Controls
Terrorist Finance
Treating Customers Fairly
Unauthorised Business

In respects to your fourth and fifth point. We combine the two to explain why we cannot respond to these parts of your request in full. The Whistleblowing Team share intelligence with other regulators and law enforcement bodies when it reasonably believes that some or all of the allegations should be considered by them. We also recommend that whistleblowers contact these bodies directly. All whistleblowing disclosures received by the FCA are reviewed and following our assessment, we provide the WB with feedback on their disclosures. The feedback we can provide is often limited due to the confidentiality restrictions we operate under.

External bodies are not required to, or expected to provide the FCA with an update or a conclusion to their enquiries. So unfortunately, we cannot provide a substantive response to your fifth point because we do not hold this data. We are however able to provide a list of regulators and law enforcement bodies we have shared intelligence with this year, where we reasonably believe the allegations received will be of interest to them.

Org
Action Fraud
CoLP/NFIB
HMRC
ICAEW
ICO
Insolvency Service
NCA
POLICE
PRA
SFO
SRA
TPR
TRADING STANDARDS

Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please contact us within 40 working days of the date of this response at FreedomofInformationAppeals@fca.org.uk.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner by phone or on their website at:

Telephone: 0303 123 1113

Website: www.ico.org.uk

Annex A

Request received on 20 July 2020:

"I am writing to make an open government request for all the information to which I am entitled under the Freedom of Information Act 2000.

- 1. Please can you provide details of the number of workers raising concerns about wrongdoing or malpractice (whistleblowing) who have contacted you in relation to your duties as a regulator for 2020 to date*

Where possible, can you please also provide the following details:

- 2. Whether each individual contacted you on an anonymous, confidential, or self-identified basis,*
- 3. A brief summary of the types of concerns raised*
- 4. If information was passed on to another regulator or enforcement body. If so please indicate the identity of the regulatory body and specify whether the concern was monitored by you following referral.*
- 5. In respect of the above, please identify (if appropriate) whether any subsequent action was taken"*