

Date: 19 October 2020

Our Ref: FOI7670

Freedom of Information: Right to know request

Thank you for your email of 26 September 2020, in which you asked for the following information:

Please provide the following information for the companies that you regulate and/or authorise for the period Jul-Sep 2020:

Number of reportable data breaches made to FCA individually or in conjunction with the ICO - calculated monthly and categorised by sector.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and our response is below.

Before considering your request, it may be helpful to know that for this request, we define 'data breach' as 'a confirmed incident in which the confidentiality of company or personal data is compromised or breached'. This does not mean that in every case personal/company data was exfiltrated/stolen.

Additionally, we are only sighted on reportable data breaches that are notified to us, the Data Protection Act 2018 does not require firms to report data breaches to us and as such we are not obligated to report data breaches about firms to the Information Commissioners Office; this is the responsibility of the firms.

We hold centralised records on the number of 'data compromise' incidents reported to the us individually by the firms we regulate (but not individually to the ICO).

Point 1

As at 29 September 2020, there have been 19 notifications made to the FCA during the period 1 July 2018 to 29 September 2020 that contained notifications of a data breach/compromise.

We do not hold any information on how many of those incidents led to an actual data breach, which the ICO defines as an incident where destruction, loss, alteration, unauthorised disclosure of, or access to, personal data occurred.

Our full response is set out in Annex A below.

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.

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

Yours sincerely

Information Disclosure Team

Annex A

Sector	Number of incidents per month			
	July 2020	August 2020	September 2020	
General Insurance & Protection	0	2	1	
Investment Management	3	1	0	
Pensions & Retirement Income	3	1	0	
Retail Banking	1	1	1	
Retail Investments	1	0	0	
Retail Lending	1	0	0	
Wholesale Financial Markets	2	1	0	
Total	11	6	2	19