

Date: 11 December 2020

Our Ref: FOI7804

Freedom of Information: Right to know request

Thank you for your email of 12 November 2020, in which you asked for the following information:

'How many data breaches have been reported or referred to the FCA so far in 2020, broken down by month, and how many were opened in total in 2019, also broken down by month?'

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 the purposes of this request, we define 'data breach' as 'a confirmed incident in which the confidentiality of company or personal data is compromised or breached'.

In relation to personal data, please note that the Information Commissioners Office (the ICO) is the UK's regulatory authority responsible for upholding information rights in the public interest, promoting openness by public bodies and data privacy for individuals. The DPA 2018 and GDPR does not require firms to report personal data breaches or compromises to the FCA; however, firms should consider reporting material operational incidents to the FCA pursuant the general notification requirements contained in SUP 15.R of the FCA's Handbook. The FCA is not required to report personal data breaches or compromises regarding firms to the ICO; this is the responsibility of the firms.

We hold centralised records on the number of incidents that involve 'data breaches', as defined above, that are reported to us individually by the firms we regulate (but not individually to the ICO).

The table below details the number of data breaches, as defined above, reported to the FCA during 2019 and to date in 2020; broken down by month. The information contained in this response is correct as at 17 November 2020.

Month	No. incidents reported to the FCA that contained notifications where the confidentiality of company or personal data may have been compromised or breached
Jan-19	14
Feb-19	11
Mar-19	13
Apr-19	9
May-19	4
Jun-19	4
Jul-19	10
Aug-19	13
Sep-19	8
Oct-19	5
Nov-19	4
Dec-19	3
Jan-20	7
Feb-20	3
Mar-20	5
Apr-20	5
May-20	8
Jun-20	9
Jul-20	11
Aug-20	6
Sep-20	3
Oct-20	4
Grand Total	159

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:

Website: www.ico.org.uk