

16 March 2021

Our Ref: FOI7927

Dear

Freedom of Information: Right to know request

Thank you for your Freedom of Information request dated 8 January 2021 relating to complaints against the FCA. This follows from a previous request processed under reference FOI7131, for which we provided the information. A copy of our final response can also be found on our Disclosure Log [here](#).

You have asked us for the full 2020 data as per FOI7131.

We have considered your request in line with the provisions of the Freedom of Information Act 2000 (FOIA). We apologise for the delay in responding to you.

Our decision on your request

In 2020 we received a total of 1,491 complaints made up of 2,769 allegations. As previously advised, each complaint may have multiple allegations (which can all differ) so we categorise each allegation rather than each complaint. Please see the table in Annex A below for a breakdown of the figures using the categories recorded on our case management system.

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority

Annex A

Nature of allegation	2020
Abusive conduct	4
Adverse Impact – compliance breach	1
Adverse Impact - fees / charges	4
Adverse Impact - Other	7
Communication – Content	6
Communication – Frequency	9
Communication – Website	1
Communications	2
Delay in acting / notification	5
Delay in making a decision	8
Disclosure / confidentiality	8
Failure to act	5
Failure to act on information	290
Failure to spot problem	699
FS Register	75
General Insurance and Protection Policy	19
Handbook	5
Incorrect fees	2
Incorrect guidance / advice	31
Investment Management Policy	6
Lack of / poor communication	60
Late returns admin fee	11
Late returns admin fee – amount	4
Length of call	1
Level of fees	11
Other	70
Pension and Retirement Income Policy	19
Poor customer service	106
Process – Complaints	455
Process – Forms	11
Process – Timeline	128
Process – Website	2
Quality - adequacy of outcome / information	6
Quality - customer service	22
Quality - process / system issue	9
Register error / problem	28
Retail Banking Policy	35
Retail Investment Policy	11
Retail Lending Policy	67
Service – Continuity	3
Service – Knowledge	2
Service – Support	7
Staff conduct - bias / bad faith	1
Staff conduct - inappropriate	1
Staff conduct / communication	2
Supervisory approach	66

System problem (CONNECT)	5
System problem (GABRIEL)	4
System problem (Invoicing)	1
Unhappy with a regulatory decision	29
Unhappy with length of time	1
Unhappy with the process	380
Website	10
Wholesale Financial Markets Policy	3
(blank)	11
Grand total	2,769