

Date: 18 March 2021

Our Ref: FOI7966

Dear

**Freedom of Information: Right to know request**

Thank you for your email of 19 January 2021, in which you asked for information relating to whistleblowing.

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

- 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 each month in 2020?*

On 19 February 2021 you confirmed that by 'workers' you mean staff at firms authorised and regulated by the FCA who submit whistleblowing reports about their own firm to the FCA.

The number of reports we received each month in 2020 is set out in the table below. Please note that the figure previously provided for July 2020 under reference FOI7468 was extracted on 20 July 2020 so was not for a full month.

Month	Total number of disclosures
January	88
February	100
March	99
April	81
May	85
June	102

July	108
August	81
September	79
October	93
November	86
December	71

2. *Whether each individual contacted you on an anonymous, confidential, or self-identified basis*

We treat all received disclosures with the highest level of discretion but we can answer this question by Anonymous or Self-identified.

Contact information status	Number of disclosures received
Self-identified	867
Anonymous	206
<b>Total</b>	<b>1,073</b>

3. *A brief summary of the types of concerns raised.*

We receive whistleblowing disclosures about a variety of concerns associated with potential regulatory wrongdoing in the Financial Service sector. The list below sets out the allegations we received during 2020.

- Anti-Money Laundering (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

### **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](mailto: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](http://www.ico.org.uk)

Yours sincerely

Information Disclosure Team  
Financial Conduct Authority