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Via Email

11 October 2013

Our Ref: FOI3138

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following information;

"As a continuation of FOI1939 found here (http://www.fsa.gov.uk/pubs/foi/foi_1939.pdf) I would like a breakdown of figures for Suspicious Transaction Reports filed to the FCA (FSA) from January 2011 up to and including August 2013, with figures broken down on a month by month basis.

- 1. As in FOI1939 I would like the STRs subdivided by the following categories: misuse of info; false / misleading; and distortion / manipulation.*

I would also like:

- 2. A breakdown of figures for Suspicious Transaction Reports filed to the FCA (FSA) for the last three complete years (2010, 2011, 2012) and up to and including August 2013, subdivided by the reasons for suspecting that the transactions(s) might constitute insider dealing / market manipulation, with figures broken down on an annual basis?*
- 3. If you are unable to provide (2) or then please provide a breakdown of figures for Suspicious Transaction Reports filed to the FCA (FSA) for the last three complete years (2010, 2011, 2012) and up to and including August 2013 subdivided by capacity (eg broker, underwriter, agent etc) in which the person performing the transaction(s) acts with figures broken down on an annual basis."*

For ease of reference your request has been renumbered. Your request has now been considered. We were unable to process points 2 and 3, as the data is not held in a readily extractable format and would exceed the 18 hour time limit provided for the FCA by the Ministry of Justice but were able to process point 1. Our response to point 1 is provided in the table below.

Year	Month	False / Misleading	Misuse of Information	Distortion / Manipulation	Total
2011	Jan	1	59	7	67
	Feb	1	72	4	77
	Mar	2	44	1	47
	Apr	2	43	5	50
	May	0	34	6	40
	Jun	2	36	4	42
	Jul	2	37	2	41
	Aug	0	23	7	30
	Sep	3	37	9	49
	Oct	3	43	7	53
	Nov	1	45	12	58
	Dec	2	26	2	30
2012	Jan	1	40	7	48
	Feb	2	95	6	103
	Mar	0	62	4	66
	Apr	4	71	2	77
	May	1	71	10	82
	Jun	3	59	12	74
	Jul	5	94	7	106
	Aug	3	96	4	103
	Sep	2	63	3	68
	Oct	0	96	7	103
	Nov	0	96	6	102
	Dec	0	75	11	86
2013	Jan	0	84	15	99
	Feb	0	88	9	97
	Mar	0	87	15	102
	Apr	0	79	9	88
	May	1	104	13	118
	Jun	1	79	5	85
	Jul	0	109	12	121
	Aug	0	75	12	87

Yours sincerely,

Information Access Team