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(By email)

2 December 2013

Our Ref: FOI3191

Dear

Freedom of Information: Right to know request

We refer to your request under the Freedom of Information Act 2000 (the Act), for information relating to whistleblowing. This request follows from a previous request (reference FOI3161) for which we advised it would take more than 18 hours to process.

On 13 November 2013 you clarified that you wish to receive the following information:

- "1. How many calls/emails/letters has the FSA/FCA 'Whistleblowing Desk' received in the following financial years 2008-9, 2009-10, 2010-11, 2011-12, 2012-13 and the 2013-14 financial year so far?"*
- 2. Do you categorise the whistleblowing incidents (progressed by the FSA/FCA) by type of issue raised? If so could we have a breakdown for the following financial years 2008-9, 2009-10, 2010-11, 2011-12, 2012-13 and the 2013-14 financial year so far?"*

Your request has now been considered and the relevant information is provided below.

Question 1:

The figures in the table below are updated on a monthly basis only, so the figure for the 2013/14 financial year has been calculated as at 31 October 2013.

Year	Number of contacts
2008/9	1,297
2009/10	2,309
2010/11	4,820
2011/12	3,600
2012/13	4,063
1 April – 31 October 2013	4,467

Question 2:

As we advised in our email of 29 October 2013, for this part of your request we are only able to provide information from March 2012 onwards, when a new system was put in place whereby we are able to extract information by case type. We also advised that only one case type can be selected when searching the system so, in cases where more than one case type has been identified, only the main case type will be recorded.

The figures below were updated on 27 November 2013.

Case Type	Number of incidents
Fitness and propriety	47
Threshold conditions	16
Other regulatory concerns	683
Insider Trading	23
International corruption	4
Market manipulation	21
Market due diligence	1
Misappropriation of client money	4
Market conduct other	23
Unauthorised activity	111
Boiler room	20
Tax evasion	1
Insurance fraud	10
Mortgage fraud	16
Other fraud	39
Money laundering concerns	25
Other crime	11
Internal corruption	1
Other issues	62

Yours sincerely

Information Access Team
Financial Conduct Authority