

Telephone: 020 7066 8080
Email: foi@fca.org.uk

(By email)

30 September 2014

Our Ref: FOI3630

Dear

Freedom of Information : Right to know request

We refer to your request under the Freedom of Information Act 2000 (the Act), for the following information:

"I hereby request to be informed in writing by you whether you hold certain information pursuant to sub section 1(1)(a) of the Act.

The information in question is:

1. *records of any relevant transactions on any exchange in the United Kingdom including:
 - (a) *the information relating to such transactions comprised in such records;*
 - (b) *the dates for which such records are held (i.e. for what period records are kept for such transactions);*
 - (c) *the exchanges in respect of which such records are held; and*
 - (d) *whether the records contain any personal data; and**
2. *information regarding any other public authority (within the meaning the meaning of section 3 of the Act) which may hold the information requested at paragraph 1 above.*

The 'relevant transactions' referred to at paragraph 1 above are:

1. *listed shares; and*
2. *listed futures on the FTSE 100.*

The reference to 'listed' above includes securities both listed on the UKLA's Official List and not listed on the UKLA's Official List."

Your request has now been considered.

You have asked 'whether [we] *hold certain information*' and we can confirm that we hold information that falls within the scope of point 1(a)-(d) of your request.

The FCA receives several million transaction reports every day. However, please be aware that, if you were to ask for information relating to any specific transaction, it is likely that we will not be able to meet it or meet it fully. This is because, taking into account the nature of the information you have requested, the absolute exemption in section 44 (regulatory information we have received and which we are unable to disclose because of the statutory bar in section 348 of the Financial Services and Markets Act 2000) may apply.

You should also note that any request for large amounts of data is likely to exceed the cost limit provided for in the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004, due to the volume of information held.

Further information on what firms are required to report to us can be found on the FCA website at the following links:

<http://www.fca.org.uk/your-fca/documents/finalised-guidance/transaction-reporting-user-pack-trup>

<http://fshandbook.info/FS/html/handbook/SUP/17>

We do not hold any information for point 2 of your request.

Yours sincerely

Information Access Team
Financial Conduct Authority