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Via e-mail

30 September 2013

Our Ref: FOI3088

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.

- 1) 'Any written memoranda of understanding/ written agreements between the FCA and UK domestic regulators and enforcement bodies regarding the sharing of information and or intelligence and or information obtained by a whistleblowing disclosure (as available).
- 2) Any written policies, procedures, guidance regarding (1) above.
- 3) Any written memoranda of understanding/ written agreements between the FCA and foreign regulators and enforcement bodies regarding the sharing of information and or intelligence or information obtained by a whistleblowing disclosure (as available).
- 4) Any written policies, procedures, guidance regarding (3) above.
- 5) Any written policies, procedures, guidance regarding co-operation with foreign regulators and or enforcement bodies.
- 6) The number of whistleblowing disclosures received by the FCA since it began operating.
- 7) The number of whistleblowing disclosures referred by the FCA to a foreign regulator or enforcement body, the name and home jurisdiction of the regulator concerned and a brief description of the concern (matter at issue).
- 8) Whether whistleblowing concerns/ information obtained by whistleblowers is tracked/ monitored once it has been referred to a foreign regulator or enforcement body.'

Your request has now been considered and I can confirm that we hold the information falling within scope of your request. I will answer each point in turn.

With regards to Point 1 & 3, all memoranda of understanding and written agreements between the FCA and domestic/ foreign regulators and enforcement bodies can be found on the FCA's external website at: <http://www.fca.org.uk/your-fca/list?ttypes=&yyear=&ssearch=>. Select Domestic MoU or International MoU from the 'Type' drop down box on the left.

The information you are seeking in regard to point 2, 4 and 5 can be found within each MoU published on our external website. Each domestic and foreign MoU, outlines the policies, procedures, guidance established for the sharing information with the respective organisations

Further to point 6, the number of intelligence logs created for the period in question is 327.

In regard to point 7, none were referred to foreign regulators for the period in question

In response to point 8, the FCA has recently put in place specific procedures for tracking within the FCA all whistleblowing information from the point of receipt to the point where it is either acted upon (and through to any subsequent regulatory or other legal hearing) or determined that no further action is possible. These new tracking and feedback procedures will enable each single piece of information received to be graded in terms of its contribution to FCA objectives. Formal procedures have not been initiated regarding the direct monitoring of whistleblowing disclosures, after they have left the FCA en-route to an external UK or overseas Regulator or Enforcement body. It is expected that the nominated FCA Supervision teams, or named supervisors who are allocated the Whistleblowing Disclosure, will monitor the progress and development of the information provided externally, and report that progress to the Whistleblowing Team.

If you wish to exercise your right to an internal review you should contact us within three months of the date of this letter.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner at:

*Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF*

*Telephone: 01625 545 700  
Website: [www.ico.gov.uk](http://www.ico.gov.uk)*

Yours sincerely

Information Access Team