

Telephone: 0207 066 8080
Email: foi@fca.org.uk

Via Email

10 March 2014

Our Ref: FOI3331

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 FOI3138, which I have attached, I would like a breakdown of figures for Suspicious Transaction Reports filed to the FCA from August 2013 up to and including January 2014, with figures broken down on a month by month basis:

1. As in FOI3138 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 since August 2013 up to and including January 2014, 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 for August 2013 up to and including January 2014 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. As outlined in FOI3138, 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.

It might be helpful to note that the information you are seeking in relation to point 1 pertaining to August - December 2013, is available from the FCA's website at: <http://www.fca.org.uk/your-fca/documents/newsletters/market-watch-45>. This information will be published routinely, however the provisional figures for January 2014 are provided in the table below.

Year	Month	False / Misleading	Misuse of Information	Distortion / Manipulation	Total
2014	Jan	2	114	12	128

Yours sincerely,

Information Access Team