

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

(By email)

3 August 2015

Our Ref: FOI4125

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:

"Please provide me with a list of fines (issued by the FCA to banks and other financial institutions over the past 7 years) relating to a failure in systems and controls of IT systems. Please list the data by institution showing the amount, date, and a one line description of the justification for the fine."

Your request has now been considered and the relevant information is attached. We have interpreted 'other financial institutions' to mean all other authorised firms. Also, please note that to compile the list of relevant cases we have selected the FCA final notices relating to breaches of the FCA's Principles for Business (in particular, Principle 3 - Management and control) and out of these selected cases relating to IT failures, including data security breaches.

On a general note, all FCA final notices are accessible on our website at the following link:

<http://www.fca.org.uk/your-fca/list?ttypes=Final+Notice&yyear=&ssearch>

Yours sincerely

Information Access Team
Financial Conduct Authority