

Via Email

25 September 2018

Our Ref: FOI5969

Dear

**Freedom of Information: Right to know request**

I refer to your request for information under the Freedom of Information Act 2000 ("the Act"), for the information in reference to section REC 3.16 of the FCA Handbook. A full copy of your request can be found in Annex A.

Our response is attached in Annex B. Please note, as this part of the handbook covers Recognised Investment Exchanges, the numbers provided relate only to incidents reported by those firms i.e. regulated exchanges.

Yours sincerely

Information Disclosure Team  
Financial Conduct Authority

**Annex A**

Request

Section REC 3.16 of the FCA Handbook outlines the responsibilities of regulated firms in respect of Information Technology. It states that:

"Where a UK recognised body changes any of its plans for action in the event of a failure of any of its information technology systems resulting in disruption to the operation of its facilities, it must immediately give the FCA notice of that event, and a copy of the new plan."

*Please could you advise of the number of such notifications received from regulated bodies pursuant to that clause in each of the past 24 months?*

**Annex B**

2016

September	October	November	December
0	0	0	0

2017

January	February	March	April	May	June	July	August	September	October	November	December
1	0	2	1	1	1	0	0	0	0	1	0

2018

January	February	March	April	May	June	July	August	September
0	1	0	0	0	2	0	0	0