

Email: foia@fca.org.uk

22 October 2019

Our Ref: FOI6666

Freedom of Information: Right to know request

Thank you for your request received on 28 August 2019 under the Freedom of Information Act 2000 (the Act) for information relating to sexual misconduct at firms. Please refer to Annex A for full details of your request.

Please accept our sincere apologies for the delay in responding to you. Your request has now been considered and our response is below.

We would first like to explain that we do not record reports of misconduct of differing types in such a way as to be able under the Act to respond exhaustively to your request.

For point 1, we have therefore done a keyword search of our relevant case record system using the term 'sexual'. As at 23 September 2019 we have located 41 such reports **by firms** in relation to allegations of sexual discrimination and three such reports **by firms** in relation to allegations of sexual harassment. The below table sets out the number of reports in each quarter:

	Harassment	Discrimination
2014		
Q1	0	0
Q2	0	0
Q3	0	0
Q4	0	1
2015		
Q1	0	1
Q2	0	1
Q3	0	1
Q4	0	3
2016		
Q1	0	0
Q2	0	0
Q3	0	0
Q4	0	0
2017		

Q1	0	0
Q2	0	3
Q3	0	0
Q4	0	2
2018		
Q1	0	3
Q2	1	5
Q3	1	6
Q4	1	6
2019		
Q1	0	3
Q2	0	2
Q3	0	4
Total	3	41

For point 2, we have also done a keyword search of our relevant case record system using the term 'sexual'. As at 23 September 2019 we have identified 35 reports **by individuals at regulated firms** in relation to allegations of sexual harassment and 14 reports **by individuals at regulated firms** in relation to allegations of sexual discrimination. The below table sets out the number of reports in each quarter:

	Harassment	Discrimination
2014		
Q1	0	0
Q2	0	0
Q3	1	1
Q4	2	1
2015		
Q1	0	0
Q2	3	0
Q3	0	1
Q4	0	0
2016		
Q1	1	0
Q2	0	0
Q3	1	0
Q4	0	0
2017		
Q1	1	0
Q2	2	0
Q3	0	0
Q4	2	0
2018		
Q1	0	1
Q2	2	1
Q3	5	2
Q4	9	4

2019		
Q1	1	1
Q2	3	2
Q3	2	0
Total	35	14

In each case, for the reasons we explain at the outset of this response, please note that there may have been other reports that related to sexual misconduct which are not captured in these figures (as relevant records may not include the term 'sexual').

We believe the above satisfies your request, but if you are unhappy with the decision made in relation to your request, you have the right to request an internal review. If you wish to exercise this right you should contact the Information Disclosure Team within 40 working days of the date of this response.

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.org.uk.

Yours sincerely

Information Disclosure Team

Annex A

Request received on 31 July 2019 (please note we have numbered your request for ease of reference in our response):

"1. Under the Freedom of Information Act, I would like to know:

- The number of reports or complaints (or however the FCA phrases this) made to the FCA about sexual misconduct*
- If it is possible to separate out, I would also like to know the number of reports made to the FCA about sexual discrimination. If this is not possible, please just supply the data for the above point.*

I would like the data broken down by quarter for the last five years, using the most recent quarter end date that is possible."

We wrote to you seeking clarification on 28 August 2019 and you clarified your request as follows and added an additional point to your request:

"To clarify I would like the data on "reports made to the FCA by firms about sexual misconduct"

2. If possible and within the constraints of the FOI Act and such that it does not jeopardise answering the above, could you also tell me

- How many sexual misconduct reports have been made to the FCA by individuals at FCA registered businesses*

Please do not answer the second point if it means that you are unable to answer the first (clarified point)."