

Chapter 2

The FCA's approach to enforcement

2.7 Sources of cases

2.7.1

The *FCA* may be alerted to possible contraventions or breaches by complaints from the public or *firms*, by referrals from other authorities or through its own enquiries and supervisory activities. *Firms* may also bring their own contraventions to the *FCA's* attention, as they are obliged to do under Principle 11 of the *Principles for Businesses* and *rules* in the *FCA's* Supervision manual.