

29 October 2019

Our Ref: FOI6796

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the "Act"), dated 1st October 2019, for the following information.

"Under the freedom of information act and with reference to a previous FOI FOI6006, I would like to know

- *The number of "prohibition orders" issued by the FCA (as detailed here: <https://www.handbook.fca.org.uk/handbook/glossary/G917.html>)*

I would like the data for Q3 and Q4 2018, and Q1 Q2 Q3 2019 (i.e. covering the quarters since the previous response in FOI 6006)."

Your request has now been considered and our response is set out below.

For Q3 and Q4 2018, 10 prohibitions in total were issued. Please see below, the number broken down by quarter;

Q3 - 8
Q4 - 2

For Q1, Q2 and Q3 2019, 11 prohibitions in total were issued. Please see below, the number broken down by quarter;

Q1 - 7
Q2 - 4
Q3 - 0

We believe this should satisfy your request, however 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