

FOI4586 - Annex A

List of Advice Firms referred to RDC in FY 2013/14, 2014/15 and 2015/16 along with link to Final Notice detailing the enforcement outcome.

FRN	Firm Name	Outcome	Date of Outcome	Financial Year	Referred to RDC (Yes/NO)
149081	Hyde Gardens Limited	Cancel Permission	21/06/2013	2013/2014	Yes
540868	Praetor Capital LLP	Cancel Permission	02/07/2013	2013/2014	Yes
458803	Kiskidee Limited	Cancel Permission	13/07/2013	2013/2014	Yes
135229	Blenheim Financial Services	Cancel Permission	15/07/2013	2013/2014	Yes
140191	Bayliss & Company (Financial Services) Limited*	Decision Notice - Withdrawal - RDC	23/05/2013	2013/2014	Yes
192650	Churchill Securities (UK) Limited	Cancel Permission	25/07/2013	2013/2014	Yes
195971	Ingram Graham Limited	Cancel permission	21/08/2013	2013/2014	Yes
465753	AXA Wealth Services Limited	Fine	13/09/2013	2013/2014	No
153251	Mark Anthony Financial Management	Cancel Permission	18/10/2013	2013/2014	Yes
191126	Bentley-Leek Financial Management Limited	Cancel Permission	18/10/2013	2013/2014	No
519508	Porta Verde Financial Services Ltd	Fine	24/10/2013	2013/2014	No
457463	Berkeley Consultants (UK) Ltd	Cancel Permission	27/11/2013	2013/2014	Yes
179905	Westwood Independent Financial Planners	Fine	17/12/2013	2013/2014	Yes
490147	Cathedral City Wealth management Ltd	Cancel Permission	10/03/2014	2013/2014	Yes
232283	Investments Ltd	Suspension, Restriction, Public censure	23/07/2014	2014/2015	No
188153	Financial Limited	Suspension, Restriction, Public censure	23/07/2014	2014/2015	No
137914	Chase de Vere Independent Financial Advisers limited	Fine	17/11/2014	2014/2015	No
419741	Collingwood Mourton Associates Limited	Cancel Permission	18/12/2014	2014/2015	Yes
535403	Nineveh Advisory Ltd	Cancel Permission	13/01/2015	2014/2015	Yes
453786	Andrew Baxter	cancel permission	05/02/2015	2014/2015	Yes
603686	Focus Wealth Management LLP	Cancel Permission	14/04/2015	2015/2016	Yes
424392	Advanced Financial Management	Cancel Permission/ OIVOP	29/05/2015	2015/2016	Yes
198034	Oracle Financial Planning	Cancel Permission	02/07/2015	2015/2016	Yes
118369	Tony Robertson Insurance	Cancel Permission	13/07/2015	2015/2016	Yes
539454	MGI Asset Management Limited	Cancel Permission	05/08/2015	2015/2016	Yes
188488	Mountbatten Financial Ltd	Cancel Permission	05/08/2015	2015/2016	Yes
116018	John Joseph Financial Services Limited	Fine	30/09/2015	2015/2016	No
459642	Yswiriant Celtic Insurance	Cancel Permission	08/03/2016	2015/2016	Yes

Financial Year	Number of cases referred to RDC	Number of Outcomes
2013/2014	10	13
2014/2015	3	6
2015/2016	7	8
	20	27

* Please note this Decision notice has been referred to the the Upper Tribunal, therefore cannot be classified as "enforcement outcome"