

2017	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL
Firms	44	47	40	24	53	34	48	37	20	50	41	38	476
Individuals	5		1	1	1	1	1			3			13
*Sanctions:													
Cancellations	41	47	39	24	53	34	48	36	20	50	41	37	470
Prohibitions	5		1	1	1	1	1			3		1	14
Financial Penalty	6		1				1						8
Public Censure	2												2
Imposition of requirement								1				1	2

*With regards to the sanctions some individuals/firms received multiple sanctions. The figures provided for the sanctions relate to all Enforcement cases referred to the RDC.

The outcomes of the referrals may be different from the initial recommendation and also include cases which have not yet been concluded.

The data does not include cases referred to the RDC to obtain authority to commence civil or criminal proceedings, which do not result in sanctions being given by the RDC.

Yours sincerely

Information Disclosure Team

Your right to complain under the FoI Act

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 us within three months 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

Annex A

1. *"The number of firms or individuals that the FCA has referred to the RDC*
 - *Please specify the number of firms and individuals that have been referred (i.e. not a cumulative total of both).*
 - *I would like the data for the last five years', broken down by quarter. Please use the most recent quarter for which you have available data.*
 - *If data for the last five years is not possible, the last three years will suffice. If this is not possible then the last two years will be fine.*

If time and cost allowances permit, please consider a second request, below. If time and cost allowances do not permit, then an answer to the above will be appreciated.

2. *If possible, could you please also include how many of these cases resulted in sanctions, and what category of sanction was handed out in each instance.*
 - *I.e. if there were 15 referred instances in a quarter, how many of those resulted in sanctions (financial, bans, etc. or whichever categories you deem fit)."*