

Telephone: 020 7066 8080
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[By email]

21 May 2018

Our Ref: FOI5738

Dear

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following information:

"Please provide details of all individuals and companies removed from the FCA Register as a result of crimes committed, between 20 April 2017 and 20 April 2018.

The answer should include:

- 1. Number and breakdown of names of companies*
- 2. Number and breakdown of names of individuals*
- 3. Details of offences (if known)"*

Before considering your request, it is important to note that individuals and firms are not 'removed' from the Financial Services Register.

The following statuses are shown on the Financial Services Register:

Active – this is only related to individuals, i.e. approved persons.

Inactive – this is the standard status that applies if an individual no longer carries out the controlled function.

Authorised – current active authorised firm.

No longer authorised – firms in relation to whom all permissions have been removed or withdrawn. The reason is not published on the Financial Services Register.

Your request has now been considered and I can confirm information is held in relation to this request.

Regarding point 1 of your request, the FCA has not cancelled the permissions of any authorised corporate entities for engaging in criminal conduct in the timeframe you have provided. As mentioned above, please note that firms are not "removed" from the Financial Services Register; their permissions may be cancelled or a firm's status can be changed to "No longer authorised".

In relation to point 2 and 3 of your request, as individuals are not “removed” from the Financial Services register we have focused our searches on individuals who were prohibited from performing all or certain functions in relation to all or certain regulated activities following a criminal conviction. Please refer to the Annex.

Further, please note that the information in the table found in the Annex is publically available both on the Financial Services Register and the FCA’s Publications page, where FCA’s Final Notices are published (please see the links below).

<https://register.fca.org.uk/>

https://www.fca.org.uk/publications/search-results?start=1&np_category=notices%20and%20decisions-final%20notices&sort_by=dmetaZ

Yours sincerely

Information Disclosure Team

Your right to complain under the 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

	Name	Date	Firm or Individual	Details
1.	Damian Frank Clarke	01/06/2017	Individual	Prohibition following a successful conviction on 15/03/2018 of 9 counts of insider dealing
2.	Stephen Alan Fox	19/09/2017	Individual	Prohibition following a conviction upon his own confession on 5 September 2016 of 1 count of theft.
3.	Adam Lancelot	20/09/2017	Individual	Prohibition following his admittance that on 2 occasions he deliberately failed to disclose two criminal convictions in regulatory applications to the Authority
4.	Graham Patrick Lockstone	15/12/2017	Individual	Prohibition following conviction on 13 April 2016 of 1 count of conspiracy to dishonestly make false representation to make gain for self/another or cause

				loss/expose other to risk and one count of making/supplying articles for use in fraud.
5.	Alok Dhanda	16/01/2018	Individual	Prohibition following conviction upon his own confession on 22 September 2014 and 28 November 2014 of 37 counts of fraud.
6.	Paul Flowers	1/03/2018	Individual	Prohibition after being convicted for possession of illegal drugs.
7.	Alex Hope	9/01/2018	Individual	<p>Prohibition following conviction on 23 April 2014 and 9 January 2015</p> <p>23 April 2014 - convicted of one count of carrying on a regulated activity when not an authorised/exempt person, contrary to sections 19 and 23(1) of the Act.</p> <p>9 January 2015 – convicted of one count of dishonestly making false representation to make gain for self/another or cause loss to other/expose other to risk, contrary to section 2 of the Fraud Act.</p>