

(By email)

30 April 2019

Our Ref: FOI6361

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 ("the Act") dated 29th March 2019 for the following information.

"Under the Freedom of Information Act and in relation to a previous request FOI5524, I would like to know the following in relation to the Regulatory Decisions Committee:

1. The number of firms or individuals that the FCA referred to the Regulator Decision Committee in 2018.
 - o Please specify the number of firms and individuals that have been referred (i.e. not a cumulative total of both).
 - o I would like the data for 2018, broken down by month."

Your request has been considered and our response is outlined below.

| No of firms or individuals referred to the Regulatory Decisions Committee during 2018 | | | | | | | | | | | | | |
|--|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|--------------|
| | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | TOTAL |
| Firms | 47 | 29 | 47 | 54 | 54 | 44 | 51 | 42 | 57 | 38 | 40 | 13 | 516 |
| Individuals | 1 | 0 | 2 | 2 | 1 | 3 | 3 | 5 | 0 | 3 | 2 | 5 | 27 |
| Totals | 48 | 29 | 49 | 56 | 55 | 47 | 54 | 47 | 57 | 41 | 42 | 18 | 543 |

Please note these numbers include all cases notified, even if they were withdrawn prior to the case documentation being submitted to the RDC, or later during the process.

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 us 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