

22 October 2020

Our ref: FOI7674

## **Freedom of Information: Right to know request**

Thank you for your request of 24 September 2020 for the following information:

*"FCA Business Area – Enforcement:*

*Period required - 1 January 2014 to 31 December 2019*

*I would like to know how many*

- 1. Prohibitions and*
- 2. Suspensions*

*have been given to approved persons based solely on offences and/or convictions committed in the course of their personal life (i.e. non-regulatory)"*

We have processed your request in line with the provisions of the Freedom of Information Act 2000 (FOIA) and we can confirm the following:

1. During the period you refer to, the FCA has prohibited two individuals in relation to non-financial misconduct committed in the course of their personal life.
2. The FCA does have the power to suspend or impose conditions or limitations on the approval of an individual as a disciplinary measure, but this power has not been used in the period in question.

## **Your right to complain under the FOIA**

If you are unhappy with this response, you have the right to request an internal review. To do so, please 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 by phone or on their website at:

Website: [www.ico.org.uk](http://www.ico.org.uk)

Yours sincerely

**Information Disclosure Team**