

Date: 20 October 2020

Our Ref: FOI7690

Freedom of Information: Right to know request

Thank you for your email of 1 October 2020, in which you asked for the following information:

*The number of "prohibition orders" issued by the FCA (as detailed here:
<https://www.handbook.fca.org.uk/handbook/glossary/G917.html>)*

I would like the data for Q3 and Q4 2019, and Q1 Q2 Q3 2020 (i.e. covering the quarters since the previous response in FOI6796)

We have processed your email in line with the provisions of the Freedom of Information Act 2000 (FOIA).

The table below provides the information requested.

Financial Year	Quarter	Number of Prohibition Orders
2019/2020	*Q3	1
	Q4	1
2020/2021	Q1	4
	**Q2	4
	Q3	2

*A prohibition was imposed by the FCA however, this case has been referred to the Upper Tribunal.

**The FCA imposed Prohibitions on two individuals, these cases have been referred to the Upper Tribunal.

Your right to complain under 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 at FreedomofInformationAppeals@fca.org.uk.

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority