

Via Email

6 February 2018

Our Ref: FOI5547

Dear

Freedom of Information: Right to know request

I refer to your request for information under the Freedom of Information Act 2000 ("the Act"), which is a follow-up to point 1 of FOI5497. A full copy of point 1, FOI5497 and your new request is attached in Annex A.

Your request has been considered and each point has been answered below.

Point (i): 13

Point (ii): 1

Point (iii): None

To clarify, the searches were carried out for the period from 1 August 2012 to end of November 2017. This is in line with the range specified as at the time of your original request and our letter of 11 December 2017.

Yours sincerely

Information Disclosure Team
Financial Conduct Authority

Annex A

Point 1 of FOI5497

'Point 1. In relation to all regulated individuals in the UK, the number of instances when an individual was disqualified, for providing wholly or partially false or misleading information to a regulator, tribunal or court.'

New Request

'In relation to Point 1: 14 instances. Please can you break this down between misleading information given to

(i) the regulator and

(ii) a Tribunal or court and

(iii) both.

Also can I just confirm the date range for the 14. Is this 14 ever or 14 from the start of 2017?'