

**FSA - fines 1 April 2010 to 31 March 2011: fiscal year 2010-2011**

<b>Date</b>	<b>Person or entity</b>	<b>Fine £000s</b>
08/04/2010	Getco Europe	1,400.00
08/04/2010	Instinet Europe	1,050.00
08/04/2010	Credit Suisse	1,750.00
12/04/2010	Gary Lester	103.00
12/04/2010	Kensington Mortgage Co	1,225.00
13/04/2010	David Baker	504.00
13/04/2010	Richard Barclay	140.00
14/04/2010	Hythe Securities	200.00
14/04/2010	Meenaz Mehta	35.00
16/04/2010	Robin Bradford	24.50
16/04/2010	Robin Chhabra	95.00
16/04/2010	Sameer Patel	180.54
22/04/2010	Jason Robins	50.00
22/04/2010	Stephen Sotiriou	200.00
22/04/2010	Winterflood	4,000.00
27/04/2010	Commerzbank	595.00
30/04/2010	Noel Smith	17.50
05/05/2010	Alpari	140.00
05/05/2010	Chattopadhyay	14.00
13/05/2010	Andrew Greystoke	400.00
20/05/2010	Simon Eagle	2,800.00
02/06/2010	Andrew Kerr	100.00
03/06/2010	JP Morgan	33,320.00
07/06/2010	Rowan Dartington	511.00
07/06/2010	Close Investments	98.00
08/06/2010	Delwyn Way	77.96
16/06/2010	John Charalambous	294.50
16/06/2010	Richard Greenland	120.00
21/06/2010	Photo-me	500.00
21/06/2010	Vantage	700.00
22/06/2010	Anjam Ahmad	181.00
28/06/2010	Stephen Perkins	72.00
05/07/2010	Neale Morton	130.00
06/07/2010	Henry Cameron	350.00
07/07/2010	Pace	49.00
08/07/2010	N-Hanced	21.00
09/07/2010	David Head	10.50
15/07/2010	Redstone Mortgages	630.00
19/07/2010	J+J Burley	179.20
27/07/2010	David Jones	320.00
27/07/2010	Ronald Winton	31.50
28/07/2010	David Roberts	14.00
02/08/2010	RBS Group	5,600.00
03/08/2010	Paul Willment	50.00
19/08/2010	Zurich Insurance	2,275.00
25/08/2010	Societe Generale	1,575.00
01/09/2010	Moneywise IFA Ltd	19.60
09/09/2010	Goldman Sachs Intl.	17,500.00

15/09/2010 Robert Yarr	28.00
22/09/2010 Michael Royden	10.50
22/09/2010 Thorntons Law	35.00
27/09/2010 Fabio de Biase	252.24
12/10/2010 Mark Bates	264.70
12/10/2010 Alan Hill	150.00
20/10/2010 Andre Jean Scerri	66.00
04/11/2010 Bridging Loans	42.00
04/11/2010 Joseph Cummings	70.00
13/12/2010 Paolo Maranza	105.00
13/12/2010 Laurence Finger	35.00
13/12/2010 Sedley Voulters	163.14
13/12/2010 Nabeel Naqui	750.00
13/12/2010 Perry Bliss	30.00
14/12/2010 William Coppin	70.00
16/12/2010 Scottish Equitable	2,800.00
05/01/2011 Barry Williams	25.00
11/01/2011 RBS Natwest	2,800.00
12/01/2011 Christopher Gower	50.00
18/01/2011 Barclays Bank plc	7,700.00
19/01/2011 Paul Clark	10.50
19/01/2011 Ceri Rees	17.50
20/01/2011 City Index	490.00
24/01/2011 Mark Thorogood	104.00
24/01/2011 Perspective Financial Mgt.	49.00
24/01/2011 Barclays Capital	1,128.00
26/01/2011 JJB Sports	455.00
07/02/2011 David Massey	150.00
16/02/2011 Cricket Hill	70.00
16/02/2011 Jeremy Sheard	24.50
22/02/2011 DB Mortgages	1,500.00
15/03/2011 ActivTrades	85.75

<b><u>TOTAL since 6 April</u></b>	<b>99,183.63</b>
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<b>FSA Total Budget 2010-11</b>	<b>454,700.00</b>
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<b>Fines since 1 April 2010 as % of total budget for year</b>	<b>21.81%</b>
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<b>Total FSA fines over 3 years to March 2009</b>	<b>46,450.00</b>
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<b>Average total annual fines over period 2006 - 2009</b>	<b>15,483.33</b>
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<b>Fines since 1 April 2010 as % of average annual fines</b>	<b>640.58%</b>
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