

Direct line:
Local fax:
Email:

By email

6th March 2014

Our Ref: FOI3317

Your Ref:

Dear

Freedom of Information request

Thank you for your clarified request under the Freedom of Information Act for the following in relation to individuals exercising a Significant Influence Function (SIF) that have been fined or censured by the FCA between 2010 and 2013.

We have considered your request, and can provide the information as follows :

- *How many SIFs have been fined? And what proportion of SIFs does this represent?*

| Year | Fine | Proportion of SIFs |
|------|------|--------------------|
| 2010 | 30 | 0.0541% |
| 2011 | 28 | 0.0512% |
| 2012 | 25 | 0.0442% |
| 2013 | 18 | 0.0321% |

- *How many SIFs have been censured? And what proportion of all SIFs does this represent?*

| Year | Public Censure | Proportion of SIFs |
|------|----------------|--------------------|
| 2010 | 5 | 0.0090% |
| 2011 | 3 | 0.0054% |
| 2012 | 4 | 0.0070% |
| 2013 | 2 | 0.0035% |

I trust this satisfies your request.

Yours sincerely

Information Access Team