

Telephone: 020 7066 8080  
Email: foi@fsa.gov.uk

BY EMAIL

24 February 2014

Our Ref: FOI3329

Dear

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

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following.

*"I'm interested in the number of SIF applications for which the FCA has decided to interview the candidate.*

1. *Since October 1 2008, on a quarterly basis if possible, how many SIF applications has the FSA decided to interview the candidate on competence and capability grounds?*
2. *Of those, again on a quarterly basis if possible within the time limit,*
  - *How many were approved?*
  - *How many withdrew their application? (if possible within the time limit, how many prior to interview and how many post interview?)*

*Please provide this information on a quarterly basis since January 1 2008. If it is not possible to provide it on a quarterly basis, please provide it on an annual basis, to the year ending of December 31.*

*If you are unable to provide data for the last six years, could you please provide data for the last four years."*

Your request has now been considered. Please note that we are unable to process your request broken down by quarterly figures as requested. This is because the data is not held in a readily extractable format and would exceed the 18 hour time limit provided for the FCA by the Ministry of Justice. However, we are able to provide you with the figures on an annual basis.

Please be aware we have only provided figures for calendar year 2012 as well as the first quarter of 2013. This is because the remaining figures for 2013 are available on the FCA website. These statistics are produced bi-annually and can be found at:

<http://www.fca.org.uk/firms/being-regulated/approved/approved-persons/volumes>

Our response does not include figures for 2008-2011, as this information was provided to your organisation in a response to a previous FOI request. I attach a copy of this for your records.

Each point will now be answered in turn.

1.

<b>Calendar Year</b>	<b>2012</b>	<b>2013* Q1</b>
<b>Applications processed under the enhanced significant influence function regime</b>	<b>200</b>	<b>24</b>

*\*These figures are for the last 3 months of the FSA. With effect from 1 April 2013 the FSA ceased to exist and was succeeded by two regulatory authorities, the Prudential Regulation Authority (PRA) and the Financial Conduct Authority (FCA).*

2.

<b>Calendar Year</b>	<b>2012</b>	<b>2013 Q1</b>
<b>Applications approved through interview</b>	<b>139</b>	<b>22</b>

<b>Calendar Year</b>	<b>2012</b>	<b>2013 Q1</b>
<b>Applications withdrawn without Interview</b>	<b>18</b>	<b>1</b>
<b>Applications withdrawn post interview</b>	<b>13</b>	<b>1</b>

Yours sincerely

**Information Access Team**