
From: Freedom of Information
Sent: 12 April 2013 13:33
To:
Subject: FOI2891: FOI Request

Our Ref: FOI2891

Dear

Freedom of Information: Right to know request

Thank you for your request for information under the Freedom of Information Act 2000 (the Act), received by the Financial Services Authority, now succeeded by the Financial Conduct Authority (FCA), for the following information in relation to the granting of waivers.

1. How many applied for?
2. How many granted?
3. How many withdrawn?
4. How many refused?
5. Split of granted between, deaths, carers, illness?
6. Split of refused between deaths, carers and illness?
7. Split of withdrawn between deaths, carers and illness?
8. How many Networks granted waivers and how many?
9. How many banks granted waivers and how many?
10. How many SME IFA's granted waivers and how many?
11. How many sole trader IFA's granted waivers and how many?

For ease of reference your request has been numbered.

On the 14 March 2013, you clarified that for points 8 – 11 you also wished to know how many were requested.

On the 19 March 2013 you also asked that for point 10, be changed from SME's to LLP's.

Your request has now been considered. I can confirm that we hold the information you have requested. Each point has been addressed below. Please note this figures are correct as at 21 March 2013

1. 185 waivers were applied for.
2. 122 were granted.
3. 45 were withdrawn.
4. 8 were refused.

5. The number of waivers granted between, deaths, carers, illness?

Granted	Deaths	Carers	Illness
	7	13	73

6. The number of waivers refused between deaths, carers and illness.

Refused	Deaths	Carers	Illness
	0	0	0

7. The number of waivers withdrawn between deaths, carers and illness.

Withdrawn	Deaths	Carers	Illness
	3	1	19

8. The number of Networks granted waivers and the amount requested.

Networks (individual applications)

Requested	Approved
22	16

9. The number of banks granted waivers and the amount requested.

Banks (individual applications)

Requested	Approved
7	6

10. The number of LLP's granted waivers and the amount requested.

LLP's (individual applications)

Requested	Approved
11	7

11. The number of sole trader IFA's granted waivers and the amount requested.

Sole trader IFA's (individual applications)

Requested	Approved
28	20

Yours sincerely

Information Access Team / Finance and Operations



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