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14 February 2014

(By email)

Our Ref: FOI3302

Dear

Freedom of Information : Right to know request

We refer to your request under the Freedom of Information Act 2000 (the Act), for information relating to application for Significant Influence Function (SIF) roles. We will answer each point in turn.

1. Total number of applications for SIF roles in each of the following calendar years 2009, 2010, 2011, 2012, 2013.

Please see the table below for applications processed under the enhanced SIF regime.

Please note that, in respect of years 2009 and 2012, the figures are very slightly at variance with those supplied to your company on 6 March 2013 under an earlier FOI request (FOI 2844). This is due to earlier typographical or arithmetical errors. We have assumed that your request for the total number of applications for SIF roles covers the applications which were processed under the enhanced SIF regime – in line with the balance of your requests.

FSA				FCA *
2009	2010	2011	2012	2013
365	528	465	248	148

* Please note the FSA ceased to exist as of 1 April 2013 when it was superseded by the FCA and the PRA so the figures quoted throughout for 2013 are an amalgam of those for the last three months of the FSA and the first nine months of the FCA. Please also note that the figures in the below tables in respect of applications received after 1 April 2013 cover only those where the FCA was the solo regulator or where there was dual regulation but FCA was the lead regulator. Figures in respect of applications where the PRA was the lead regulator must be requested from the PRA.

2. **Number of applicants put forward for interview, broken down by primary function, in each of the following calendar years 2009, 2010, 2011, 2012, 2013?**

Controlled Function	FSA				FCA
	2009	2010	2011	2012	2013
CF1	73	91	50	28	4
CF2	109	113	112	44	2
CF3	51	66	55	29	4
CF4	0	1	1	0	0
CF 10	11	24	23	16	15
CF 10a	0	0	38	5	14
CF 11	5	6	8	3	6
CF12	1	4	2	0	0
CF12A	0	1	2	0	0
CF 28	19	58	35	28	1
CF 29	27	49	44	6	7
CF40	0	0	0	0	17
CF50	0	0	0	0	1
Total	296	413	370	159	71

3. **Number of applicants whose applications were withdrawn, broken down by primary function, for each of the following calendar years 2009, 2010, 2011, 2012, 2013.**

Please see table below.

4. **Of the withdrawn applications above (Q3) how many were withdrawn after being interviewed by the FCA? Please could we have figures broken down by primary function, for each of the following calendar years 2009, 2010, 2011, 2012, 2013?**

FSA									FCA	
Controlled Function	2009		2010		2011		2012		2013	
	Total Withdrawn	Post interview withdrawal	Total Withdrawn	Post interview withdrawal	Total Withdrawn	Post interview withdrawal	Total Withdrawn	Post interview withdrawal	Total Withdrawn	Post interview withdrawal
CF1	11	7	18	10	7	5	6	3	1	1
CF2	7	4	21	12	19	9	7	4	0	0
CF3	8	4	10	6	7	4	7	3	0	0
CF4	0	0	0	0	0	0	0	0	0	0
CF 10	0	0	10	5	3	2	5	2	3	3
CF 10a	0	0	0	0	9	5	2	0	2	1
CF 11	1	1	2	0	2	2	0	0	3	2
CF12	0	0	0	0	1	0	0	0	0	0
CF12A	0	0	0	0	1	1	0	0	0	0
CF 28	3	1	7	6	10	6	7	1	1	0
CF 29	0	0	9	2	7	2	1	0	3	2
CF40	0	0	0	0	0	0	0	0	6	1
CF50	0	0	0	0	0	0	0	0	0	0
Total	30	17	77	41	66	36	35	13	19	10

5. **Number of applicants successful in their application, broken down by primary function, in each of the following calendar years 2009, 2010, 2011, 2012, 2013?**

FSA					FCA
Controlled Function	2009	2010	2011	2012	2013
CF1	83	99	53	29	10
CF2	122	122	126	59	10
CF3	55	66	58	29	4
CF4	0	1	1	0	0
CF 10	11	23	23	19	14
CF 10a	0	0	36	5	13
CF 11	4	8	8	7	5
CF12	1	4	2	1	0
CF12A	0	1	1	0	0
CF 28	24	60	38	34	2
CF 29	35	67	53	29	31
CF40	0	0	0	0	25
CF50	0	0	0	0	1
Total	335	451	399	212	115

The FCA now publishes more detailed information on the volumes of approved person applications for controlled functions that we have received and made a decision upon.

These figures are published every six months, starting with the period from 1 April 2013 to 30 September 2013. For more information, please click on the following link:

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

The FCA also publishes some of the disclosures made under the Act and which we consider to be of wider public interest. Please see the links below.

<http://www.fca.org.uk/site-info/information/disclosure-log>

http://www.fsa.gov.uk/information/disclosure_12.shtml

Yours sincerely

Information Access Team
Financial Conduct Authority