

## 5 Year Breakdown of Individual Approvals.

### 31/03/2015

<b>Firm Category</b>	<b>Significant Influence Functions</b>	<b>Customer Functions</b>	<b>LIBOR functions</b>
<b>Grand Total</b>	<b>122,070</b>	<b>124,287</b>	<b>25</b>
Personal Investment	28,167	25,788	
Investment Management	21,034	26,221	
Bank (inc e-money issuers) and Building Society	5,029	35,128	22
Securities & Futures	7,278	24,564	
Other	21,832	8,817	
General Insurance Intermediary	23,148	301	
Other Insurer	5,654	171	
Mortgage Business (Non-Deposit Taker)	5,191	189	
Not known	1,392	2,082	3
Life Insurer	2,356	183	
Professional firms	989	843	

### 31/03/2014

<b>Firm Category</b>	<b>Significant Influence Functions</b>	<b>Customer Functions</b>	<b>LIBOR functions</b>
<b>Grand Total</b>	<b>115,462</b>	<b>121,940</b>	<b>26</b>
Personal Investment	27,059	25,306	
Investment Management	19,959	24,337	
Bank (inc e-money issuers) and Building Society	5,064	34,860	22
Securities & Futures	7,116	23,988	
General Insurance Intermediary	23,183	304	
Other	15,112	8,042	
Not known	3,942	3,710	4
Other Insurer	5,711	191	
Mortgage Business (Non-Deposit Taker)	4,911	197	
Life Insurer	2,426	192	
Professional firms	979	813	

### 31/03/2013

<b>Firm Category</b>	<b>Significant Influence Functions</b>	<b>Customer Functions</b>	<b>LIBOR functions</b>
<b>Grand Total</b>	<b>116,351</b>	<b>122,044</b>	
Personal Investment	25,789	24,079	
Investment Management	19,322	22,937	
Bank (inc e-money issuers) and Building Society	4,923	35,947	
Securities & Futures	7,008	24,701	
General Insurance Intermediary	22,738	294	
Other	14,876	7,137	
Not known	7,446	5,581	
Other Insurer	5,777	204	
Mortgage Business (Non-Deposit Taker)	4,735	178	
Life Insurer	2,718	177	
Professional firms	1,019	809	

**31/03/2012**

<b>Firm Category</b>	<b>Significant Influence Functions</b>	<b>Customer Functions</b>	<b>LIBOR functions</b>
<b>Grand Total</b>	<b>116,651</b>	<b>130,482</b>	<b>-</b>
Personal Investment	24,438	26,055	
Bank (inc e-money issuers) and Building Society	4,881	40,339	
Investment Management	18,390	21,945	
Securities & Futures	6,870	25,025	
General Insurance Intermediary	22,313	457	
Other	14,492	7,066	
Not known	10,926	7,984	
Other Insurer	5,890	285	
Mortgage Business (Non-Deposit Taker)	4,569	254	
Life Insurer	2,853	212	
Professional firms	1,029	860	

**31/03/2011**

<b>Firm Category</b>	<b>Significant Influence Functions</b>	<b>Customer Functions</b>	<b>LIBOR functions</b>
<b>Grand Total</b>	<b>115,782</b>	<b>134,174</b>	<b>-</b>
Personal Investment	23,548	25,530	
Bank (inc e-money issuers) and Building Society	4,839	41,757	
Investment Management	17,315	22,197	
Securities & Futures	6,590	25,438	
Not known	14,190	9,751	
General Insurance Intermediary	22,396	488	
Other	12,094	6,594	
Other Insurer	5,968	947	
Mortgage Business (Non-Deposit Taker)	4,742	277	
Life Insurer	3,040	286	
Professional firms	1,060	909	

**Total  
Controlled  
Functions**

**246,382**

53,955  
47,255  
40,179  
31,842  
30,649  
23,449  
5,825  
5,380  
3,477  
2,539  
1,832

Examples of "other"

**Total  
Controlled  
Functions**

**237,428**

52,365  
44,296  
39,946  
31,104  
23,487  
23,154  
7,656  
5,902  
5,108  
2,618  
1,792

\* Individuals can hold one firm. The figures are for individuals.

\*\* When a firm deregisters, the number of instances where the firm is controlled by an individual is reduced.

**Total  
Controlled  
Functions**

**238,395**

49,868  
42,259  
40,870  
31,709  
23,032  
22,013  
13,027  
5,981  
4,913  
2,895  
1,828

**Total  
Controlled  
Functions**

**247,133**

50,493

45,220

40,335

31,895

22,770

21,558

18,910

6,175

4,823

3,065

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1,889

**Total  
Controlled  
Functions**

**249,956**

49,078

46,596

39,512

32,028

23,941

22,884

18,688

6,915

5,019

3,326

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1,969

Advising and Arranging Intermediary (exc. FA & Stockbroker)  
Connected travel insurance only  
Consumer Credit  
Credit Union  
ISPV  
Media Firm  
Money Remitter

and multiple Control Functions (CFs) and can work for more than one firm type. The number of approvals provided are the number of approvals rather than the number of

registers, the firm category is not retained. Therefore, the number of firm type is 'not known' increases with the age of the data.