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BY EMAIL

15 April 2015

Our Ref: **FOI3977**

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 information:

- "A) How many applications for FCA approval has the FCA received in each of the following calendar years 2013 and 2014? Please could we have this broken down by firm or candidate?"*
- B) In each of those years, how many of these applications were classified as non-routine applications? Please could we have this broken down by firm or candidate?"*
- C) In each of those years, how many of those non-routine applications ultimately resulted in the candidate/firm concern being authorised? Please could we have this broken down by firm or candidate?"*

Your request has now been considered and I can confirm we hold some of the information you have requested.

In relation to part A of your request, the information is as follows:

	2013	2014
Firm	1,100	1,716
Candidate/Individual	29,852	28,226

**Please note that the Firm and Candidate/ Individual figures include EEA Authorised Branches and FSMA Firms that have also applied for Consumer Credit activities, it does not include Dual Regulated Firms or Firms that have applied, only for Consumer Credit activities. The Candidate/ Individual figures also include applications from existing authorised firms.*

In relation to parts B and C of your request, applications for Firm Authorisation under Part IV(a) of FSMA are not defined as being "Routine" or "Non Routine". Therefore in

relation to Firms, parts B and C of your request cannot be fulfilled as we do not hold this information.

Turning back to the figures for Candidate/Individual in relation part B and C of your request, applications for approval under Section 59 of FSMA are not strictly defined as being "routine" or "non-routine". However, we classify some applications as "Non routine" as part of our current process and have provided numbers below on that basis.

	2013 Non-Routine Applications Received	2013 Non-Routine Applications Approved	2014 Non-Routine Applications Received	2014 Non-Routine Applications Approved
Firms	0	0	0	0
Candidate/Individual	1,208	958	1,520	1,104

Please note the following with respect to the Candidate/ Individual figures for responses to questions B and C question:

- The figures are in calendar years
- The applications are for existing firms and not newly authorised firms or Appointed Representative (AR) firms. They do not include the figures for Consumer Credit applications or for PRA led applications - we do not publish statistics on the assessment of PRA-designated controlled functions as the PRA leads this process. Further information can be found on the [PRA's Approved Persons webpages](#)
- The figures include active applications which have not yet been concluded.

Information relating to non-routine applications and the related process can be found at the following link: <http://www.fca.org.uk/firms/being-regulated/approved/approved-persons/non-routine>

You may already be aware, you can find information relating to approved person applications and volumes at the following link (this information is updated six monthly and will be updated with the 2014 figures shortly): <http://www.fca.org.uk/firms/being-regulated/approved/approved-persons/volumes>

Yours sincerely

Information Access Team