

Annex A

I would like to make a request for additional data that you collected as part of your 2021 data collection of Principal Firms which was used as a source for Figure 8 on this recent publication - <https://www.fca.org.uk/data/improving-appointed-representatives-regime-through-greater-use-data>.

It is clear you already have the data in a format which can be easily interrogated and therefore the time cost of fulfilling this request must be very small. In turn, the public need to understand this information, to make informed decisions to be able to compare the resources used by Principal firms, when making decisions as to whether to use a particular AR, given the sector and the scale of a Principal Firm is very high.

My request is set out below.

Please can you provide information in a similar format to Figure 8 in the above publication but for Principal Firms with more than 5 ARs v.s. Principal Firms with fewer than 5 ARs. Within those two buckets, please additionally provide sector by sector information.

I am making this request because whilst you say in the title of Figure 8 that this is for firms reporting that they provide regulatory hosting services it would be more useful if you identified the sub-set of Principal firms that are doing it "at scale" which, in my opinion, is those firms with 5 or more ARs. It would also be useful if you could cut the data along the lines you have shown in Figure 4.

Therefore, in summary, I am asking for:

- For each of the 7 sectors identified in Figure 4 (e.g. CF, CI, IM, RB, GI&P, P&RI, WM)*
- Where the Principal Firm has 5 or more ARs*
- The Number of those principal firms in each of the buckets as you have on Figure 8*
- The same as the above but for principal firms with fewer than 5 ARs*