

25 September 2019

Our Ref: FOI6728

**Freedom of Information: Right to know request**

Thank you for your request received on 28 August 2019 under the Freedom of Information Act 2000 (the Act) for information about a survey sent to financial advisers as part of the FCA's review of the retail distribution review. Please refer to Annex A for full details of your request.

Your request has now been considered and we can confirm that the survey was sent in August 2019 to 379 firms. Of these firms, 11 do not have permission to offer financial advice, and an additional 76 firms are Appointed Representatives and do not have direct permissions to offer financial advice.

A copy of the survey sent to firms can be found in Annex B.

We believe the above satisfies your request. However, if you are unhappy with the decision made in relation to your request, you have the right to request an internal review. If you wish to exercise this right you should contact us within 40 working days of the date of this response.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF. Telephone: 01625 545 700. Website: [www.ico.org.uk](http://www.ico.org.uk)

Yours sincerely

**Information Disclosure Team**

## **Annex A**

Request received on 28 August 2019:

*I am seeking information on the survey which was sent to financial advisers as part of the FCA's review of the retail distribution review, as shown in this story, <https://citywire.co.uk/new-model-adviser/news/fca-to-survey-400-advice-firms-for-rdr-review/a1225909>*

*I would be very grateful if you could respond to the following:*

*-How many FCA regulated firms that have permission to offer financial advice did the FCA send this survey to in 2019?*

*-Please send across a copy of the survey which was sent to these firms?*

## **Annex B**

See attached copy of survey sent to financial advisers as part of the FCA's review of the retail distribution review