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[By Email]

06 March 2017

Our Ref: FOI4982

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act).

Your request has now been considered and answered in turn.

1) In the period 31 December 2016 to 6 February 2017, how many firms have submitted Annual Financial Crime Reports to the Authority?

The total is 62 – please see the attached table.

2) In the period 31 December 2016 to 6 February 2017, how many Annual Financial Crime Reports have been submitted to the Authority?

The total is 62 – please see the attached table.

3) Of the firms in 1) above, please break down the firms that have responded by firm category (C1, C2, C3, & C4 - if applicable).

We do not hold this information as we no longer use this method of categorisation. We revised our supervisory approach in 2016 and we now differentiate firms as either fixed or flexible portfolio. It is these categories that determine the nature and intensity of our supervisory approach. We provide information about this on the FCA website, and this is accessible via the following link:

<https://www.fca.org.uk/about/supervision>

4) Please tell me any other words or terms that you use to record the type of firm that has responded (for example, if you use the word 'bank' or 'building society', please include the words 'bank' and 'building society' in the list of words used).

Please see the Primary Categories listed in the attached table.

5) Please provide a copy of the Annual Financial Crime Report form (or the questions asked by the Authority within the form). This is available on the FCA website, could

provide a link to it in the final response.

The questions asked within this form are available on page 37 of the document on the FCA website which is accessible via the following link:

<https://www.fca.org.uk/publication/policy/ps16-19.pdf>

- 6) Of the C1 firms in 1) above (so, C1 firms that have responded so far), what is:
- a) the mode (most frequently occurring number);
 - b) the median (the middle value that separates the higher half from the lower half of the data set); and
 - c) the arithmetic mean

of the answers given in response to question 25 of the Annual Financial Crime Report (which I understand is "As at the end of the reporting period, please provide the total FTE of UK staff with financial crime roles").

We do not hold this information. Please refer to our response to question 3.

Yours sincerely

Information Access Team