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By email

Xx September 2017

Our Ref: FOI5291

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 (please note I have numbered your request for ease of reference):

"I would like to request:

- 1. the number of MiFID II authorisations submitted by fund managers, by the July 3rd deadline.*
- 2. I would also like to request the number of late submissions that the FCA has accepted."*

Before considering your request it is worth noting that a fund manager is not a permission in itself, and falls within the following permissions:

- Managing investments
- Managing an authorised AIF
- Managing an unauthorised AIF
- Managing UCITS

Turning now to your request I can confirm the following. For point 1 we have received five applications from firms holding the above mentioned permissions.

For point 2, while one application was received after 3 July 2017 we do not consider this to be a late submission. This is because the 3 July 2017 was the date by which firms had to submit a complete application by to guarantee a decision by 3 January 2018.

Yours sincerely

Information Disclosure Team