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(By email)

26 October 2017

Our Ref: FOI5367

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

We refer to your request under the Freedom of Information Act 2000 ("the Act"), for the following information:

- " 1. The number of firms applying to the FCA passporting team for MiFID inward and outward passports and number of applications each quarter between 01/01/2016 and 30/09/2017.*
- 2. The number of firms cancelling MiFID inward and outward passports and number of applications cancelled each quarter between 01/01/2016 and 30/09/2017.*
- 3. The total number of firms holding MiFID inward and outward passports, and the total number of passports, on 01/01/2016.*
- 4. The total number of firms holding MiFID inward and outward passports, and the total number of passports, on 30/09/2017.*
- 5. A list of all firms holding MiFID inward and outward passports on 01/01/2016, in .xls spreadsheet format.*
- 6. A list of all firms holding MiFID inward and outward passports on 30/09/2017, in .xls spreadsheet format.*
  
- 7. The number of firms applying to the FCA passporting team for UCITS inward and outward passports and number of applications each quarter between 01/01/2016 and 30/09/2017.*
- 8. The number of firms cancelling UCITS inward and outward passports and number of applications cancelled each quarter between 01/01/2016 and 30/09/2017.*
- 9. The total number of firms holding UCITS inward and outward passports, and the total number of passports, on 01/01/2016.*

10. *The total number of firms holding UCITS inward and outward passports, and the total number of passports, on 30/09/2017.*
11. *A list of all firms holding UCITS inward and outward passports on 01/01/2016, in .xls spreadsheet format.*
12. *A list of all firms holding UCITS inward and outward passports on 30/09/2017, in .xls spreadsheet format.*
  
13. *The number of firms applying to the FCA passporting team for AIFMD inward and outward passports and number of applications each quarter between 01/01/2016 and 30/09/2017.*
14. *The number of firms cancelling AIFMD inward and outward passports and number of applications cancelled each quarter between 01/01/2016 and 30/09/2017.*
15. *The total number of firms holding AIFMD inward and outward passports, and the total number of passports, on 01/01/2016.*
16. *The total number of firms holding AIFMD inward and outward passports, and the total number of passports, on 30/09/2017.*
17. *A list of all firms holding AIFMD inward and outward passports on 01/01/2016, in .xls spreadsheet format.*
18. *A list of all firms holding AIFMD inward and outward passports on 30/09/2017, in .xls spreadsheet format."*

Your request has now been considered and has been numbered for ease of reference. The relevant information is attached in an Excel spreadsheet as requested.

As shown on the spreadsheet, the first tab titled 'Summary information' is in response to questions 1-4, 7-10 and 13-16. The second tab provides the information requested at questions 5, 11 and 17 (as at 01/01/2016), and the third tab is in response to questions 6, 12 and 18 (as at 30/09/2017).

We have understood the questions as asking for the number of new passports granted and passports no longer effective in the relevant periods (rather than the applications made to the FCA for a new passport and the number of those applications that get withdrawn before a passport is granted). Please let us know if this is incorrect.

The figures provided use the data from the FCA register for new passports that became effective in the relevant periods. We then give a balancing figure for the number of passports withdrawn (cancelled) for each relevant period. This is because the way withdrawn passports are processed differs to the processing of new passports. In addition, withdrawals happen for a number of reasons, for example a firm may cease operating and cancel their authorisation, or a firm may stop doing business in one member state. Therefore the balancing figure gives an appropriate view of the active and withdrawn passports at particular points in time.

Yours sincerely

Information Disclosure Team  
Financial Conduct Authority

[Your right to complain under the FoI Act](#)

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 three months 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)