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19 October 2017

(By email)

Our ref: FOI5370

Dear

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:

"I would like the complete list of 'Requirements' titles as seen from within the Permission's section of the FCA search facility within the FCA website.

Examples of the short titles of these Requirements are:

*Small Authorised UK AIFM
May control but not hold client money
No CBTL business unless registered
Not permitted to canvass off trade premises
Corporate finance business only
BIPRU firm MiFID activity restriction*

From page 22 of the <https://www.fca.org.uk/publication/documents/register-extract-handbook.pdf> it seems that this field is 50 alpha/numeric characters.

This is not a request for actual data/information about any firms or individuals hence not a purchasable item of data but just a request for the FCA definitions of these Requirements titles hence this request under the FOI."

Your request has now been considered and the information is provided below.

Activities only in respect of long term insurance.
Article 2 exemption
Article 3 MiFID exempt firm
BIPRU firm MiFID activity restriction
Connected travel insurance only firm
Corporate finance business only.
Corporate finance or venture capital only
CPMI Requirement

CPMI Requirement (UCITS investment firm)
Derivatives as incidental services only.
DERIVATIVES using permitted third party only
Energy Market Participant
Exempt CAD firm (may give inv advice)
Exempt CAD firm (may receive & transmit orders)
Exempt CAD-may recv &trans ordrs &/or give inv adv
Exempt MiFID firm (Article 2)
Exempt MiFID firm (Article 3)
Firm must advise only through the media.
Firm's business is restricted to that of an ISPV
Internally Managed AIF
May control but not hold client money
May control but not hold client money & Assets
May control money if settlement through a mandate.
May hold/control client money if rebated commision
MiFID client money/assets restriction
No actions to stabilise market price
No CBTL business unless registered
No CORPORATE FIN. BUSINESS unless non-mainstream
No pension transfer or opt out
No speculative foreign exchange dealings.
Not for profit firm
Not permitted to canvass off trade premises
Not to act as Broker Fund Adviser
Not to hold or control client assets
Oil Market Participant
Only rights to/interests in permitted investments
Power of Attorney and client money
Regulated activities incidental only.
Small Authorised UK AIFM (Sub-Threshold)
The firm must not act as an ISA manager.
UCITS Firm
Unable to hold client assets for MiFID activities
Venture Capital Business Only

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