

Telephone: 0207 066 8080
Email: foi@fca.org.uk

(By email)

15 February 2018

Our Ref: FOI5560

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 ("the Act") dated 18 January 2018 for the following information:

"I would like to know the total number of "Significant Influence Function" (SIF) interviews that have been conducted.

I would like this data for the last five years, broken down by year, using a year-end date of 31st December. If using a year-end of 31st December is not possible, please use a year end of 30th September.

If data for the last five years is not possible, I would like the data for the last three years also broken down by quarter"

Your request has now been considered, and I can confirm that we hold the information requested, as set out below.

Please note the figures below represent the number of interviews conducted rather than interview cases received, and include interviews conducted by the FCA as the sole regulator, as well as those where the FCA and PRA have jointly interviewed.

Lastly, please also note that the Senior Managers Regime (SMR) for the banking sector and the Senior Insurance Managers Regime (SIMR) came into force in March 2016. The figures provided below therefore also include interviews carried out under the SMR and SIMR since March 2016.

Calendar year	Number of interviews conducted
2013	145
2014	137
2015	137
2016	138
2017	183

Yours sincerely

Information Disclosure Team



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, Wycliff House, Water Lane, Wilmslow, Cheshire SK9 5AF. Telephone: 01625 545 700. Website: www.ico.org.uk