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[via email]

22 February 2018

Our Ref: FOI5571

Dear

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for information on the number of applications for authorisation. Please refer to Annex A for full details of your request.

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

Before I provide you with the details on the number of authorisations for each permission specified, I would like to explain we have taken advising on investments as the permission for 'Advising (ex Pension Transfers/Opt Outs)' for Designated Investment Business and managing an AIF as the permission for 'Managing an authorised AIF' and 'Managing an unauthorised AIF'.

The number of firms authorised with the specific permissions requested have been listed in the below table:

	2015	2016	2017
Advising (ex Pension Transfers/Opt Outs)	674	705	493
Arranging deals in investments	704	755	555
Managing investments	168	210	169
Managing a UCITS	12	7	2
Managing an authorised AIF	10	8	7
Managing an unauthorised AIF	191	148	109

Yours sincerely

Information Disclosure Team

Annex A:

Request received on 25 January 2018:

“the number of firms who have been authorised in 2015, 2016 & 2017 with the specific permissions you listed”

The permissions being:

- firms which advise on investments;
- firms which arrange deals in investments;
- firms which manage investments;
- firms which manage a Ucits and;
- firms which manage an AIF.