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[By Email]

15 May 2018

Our Ref: FOI5721

Dear

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act). Both full requests for FOI5558 and FOI5721 can be found in the Annex.

Before considering your request it is important to know that Under the SMR there are PRA and FCA designated functions. We have provided information in respect of applications received for FCA designated functions only. The PRA as the lead regulator should be contacted for information relating to their designated functions.

Your request has now been considered and each point has been answered in turn.

"Please could I request updated figure for FOI5558 relating to the period 01.03.16 - 28.02.18

The number of FCA Senior Managers Regime (SMR) applications received from 1 March 2016 to 28 February 2018, total 724. Of these, 196 were from candidates who had stated their title as Mrs/Miss/Ms; 526 where the candidates stated Mr and 2 were under an alternate title. A total of 595 have been approved. No applications have been refused. The remainder (127) have either been withdrawn before a decision was reached or are currently being considered. A detail of the split between genders is shown in the table below:

	Received	Approved
Female (Mrs/Miss/Ms)	196	169
Male (Mr)	526	426

In addition please could you provide the following info:

How many applications to perform approved person functions has the FCA

received from men (Mr) and how many from Women (Ms/Mrs/Miss) in the period from 01.03.14 - 29.02.16

	<u>01/03/14 - 29/02/16</u>
Mr	45894
Ms/Mrs/Miss	10517
Other/undefined*	1013

How many applications to perform approved person functions has the FCA received from men (Mr) and how many from Women (Ms/Mrs/Miss) in the period from 01.03.16 - 28.02.18"

	<u>01/03/16 - 28/02/18</u>
Mr	38493
Ms/Mrs/Miss	8471
Other/undefined*	936

* It is important to know that the application forms for persons seeking approval do not include a "Gender" field, and the "Title" field is the closest one that can be used to determine gender. Further, when applications for approval are submitted, the "Title" field is not mandatory. So where this field has been left blank, or in cases where a title (e.g. Dr / Prof. / Rev.) has been used, we have placed this figure under "Other/undefined".

Yours sincerely

Information Disclosure Team

Annex

Request FOI5558 - "Please could I have the following data split by gender where the applicants have stated Mr, Mrs,Ms and Miss in their application.

1) Since the introduction of the Senior Managers Regime (SMR), how many 'Application to perform senior management functions' has the FCA received from men (Mr) and how many from Women (Ms/Mrs/Miss)?

2) Of these applications how many were approved and how many were declined. Please could we have the stats broken down by gender (as above)"

Request FOI5721 – *"Please could I request updated figure for FOI5558 relating to the period 01.03.16 - 28.02.18*

In addition please could you provide the following info:

How many applications to perform approved person functions has the FCA received from men (Mr) and how many from Women (Ms/Mrs/Miss) in the period from 01.03.14 - 29.02.16

How many applications to perform approved person functions has the FCA received from men (Mr) and how many from Women (Ms/Mrs/Miss) in the period from 01.03.16 - 28.02.18"