

Via Email

Date: 15 May 2018

Our Ref: FOI5722

Dear

Freedom of Information: Right to know request

I refer to your request for information under the Freedom of Information Act 2000 ("the Act") dated 16 April 2018 for information in relation to the Senior Manager & Certification Regime.

Your request has been considered and I shall address each point in turn.

The number of investigations into individuals relating to misconduct under the Approved Persons Regime opened by the FCA for the period 01.03.16 - 28.02.18"

Individuals approved to perform Significant Influence Functions (SIF): 93
Individuals approved to perform Customer Functions (not SIF): 54

The number of investigations into individuals relating to misconduct under the Senior Managers Regime opened by the FCA for the period 01.03.16 - 28.02.18"

Individuals who have held Senior Manager Functions at any point in the relevant period: 12
Individuals classified by their firms as a Certified Person: 10

Yours sincerely

Information Disclosure Team

