

Email: foi@fca.org.uk

(By email)

6 July 2018

Our Ref: FOI5831

Dear

Freedom of Information: Right to know request

We refer to your requests under the Freedom of Information Act 2000 (the Act) for information relating to data published in recent FCA Data Bulletins. You submitted three separate requests, full details of which can be found in Annex A below.

Your requests have been aggregated and processed in accordance with the Act as one request under the reference shown above. Under guidance issued by the Ministry of Justice, a public authority may aggregate requests in the following circumstances (amongst others):

- Two or more requests for information have been made to the same public authority;
- The requests are from the same person;
- The requests relate to the same or similar information.

The Guidance can be found [here](#) (see page 3).

Your request has now been considered and we are able to provide you with the relevant information in the attached Excel spreadsheet.

Please note for questions 1 and 2 (capital requirement and surplus data), the data for 2015 and 2016 have been provided in a consistent format with the 2017 data in Data Bulletin 13. However, because of issues with recreating data relating to past dates, care should be taken in comparing across years in relation to categories of firm. In particular, there have been changes in the allocation of firms to categories over time and some information is not retained on our system after firms cancel registration so they can no longer be allocated to a category (hence the 'Not knows' in the 2015 and 2016 tables).

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

Annex A

Request 1:

Files referenced in this request:

DB13: Data Bulletin Issue 13 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-13.xlsx>

DB7: Data Bulletin Issue 7 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-7.xlsx>

Hi,

In DB13, section 3, table 13, you have provided Number of firms by size of capital requirement at 2017.

In DB7, section 3, table 8, you have provided Number of firms by size of capital requirement at 2015.

We would like to compare the numbers over time however the bands you have used are inconsistent so not directly comparable.

Could you please either give us:

- 2016 data (and if possible 2015 data) in the same format as table 13 from DB13, or
- 2017 data (and if possible 2016 data) in the same format as table 8 from DB7.

Request 2:

Files referenced in this request:

DB13: Data Bulletin Issue 13 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-13.xlsx>

DB7: Data Bulletin Issue 7 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-7.xlsx>

Hi,

In DB13, section 3, table 14, you have provided Number of firms by size of capital surplus at 2017.

In DB7, section 3, table 9, you have provided Number of firms by size of capital surplus at 2015.

We would like to compare the numbers over time however the bands you have used are inconsistent so not directly comparable.

Could you please either give us:

- 2016 data (and if possible 2015 data) in the same format as table 14 from DB13, or
- 2017 data (and if possible 2016 data) in the same format as table 9 from DB7.

Request 3:

Files referenced in this request:

DB13: Data Bulletin Issue 13 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-13.xlsx>

DB9: Data Bulletin Issue 9 - <https://www.fca.org.uk/publication/data/underlying-data-bulletin-issue-9.xlsx>

Hi,

In DB13, section 5, table 19, you have provided Value of adviser charges by method of adviser payment at 2015, 2016 and 2017.

In DB9, section 3, table 12, you have provided Payment of adviser charges by clients - direct payment vs facilitated payment at 2016.

In DB9 you had each method of payment split by type of advice i.e. Independent vs Restricted. In DB13, you have shown the overall payments without splitting by type of advice.

Could you please give us table 19 from DB13, further split by type of advice as you did in table 12 in DB9.