

Email: foi@fca.org.uk

[By email]

06 September 2018

Our Ref: FOI5945

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), for the following information:

- "1. how many individuals/people are currently registered (active) under the FCA register as of today.*
- 2. In the last 2 years how many individuals have been refused approval due to having a criminal conviction.*
- 3. Do you have any detail on types of convictions listed"*

Your request has now been considered and we can confirm we hold some of the information you have requested.

In regards to Q1, 146,126 unique individuals are currently registered (active) on the FCA register as of 05 September 2018. Some individuals hold more than one function, this means more functions are held than there are unique individuals.

In relation to Q2, no final notices were published by the FCA in the past 2 years refusing an application which included criminal convictions as a reason.

Therefore, there is no information available to answer Q3 of your request.

Yours sincerely

Information Disclosure Team
Financial Conduct Authority