

Email: foi@fca.org.uk

[By email]

23 November 2018

Our Ref: FOI6064

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), made on 26th October 2018, for the following information:

"I am seeking information for the number of Financial Adviser firms with the CF30 function who requested discretionary investment management permissions and the Retail (Investment) customer type, for the calendar years 2015, 2016 and 2017"

Your request has now been considered and we can confirm that we hold the information you are requesting.

The number of firms, containing individuals with the CF30 function, who requested investment management permissions for the Retail (Investment) customer type, are as follows:

- 2015 – 10
- 2016 – 8
- 2017 – 14

These figures are based on firms that are already authorised and have applied to add the permission of 'managing investments' for the 'Retail (investments)' customer type. Please note these figures do not include any firms that have applied to add managing an authorised AIF, managing an unauthorised AIF or managing a UCITs.

Yours sincerely

Information Disclosure Team
Financial Conduct Authority