

Email: foifca.org.uk

10 June 2019

Our Ref: FOI6467

Freedom of Information : Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act), received on 10 May 2019, for information on the number of applications for FCA Senior Manager Regime broken down by title. Please refer to Annex A for full details of your request.

Your request has now been considered and our response is below. Before responding to your request, I would first like to explain that the information provided below is on a financial year basis (i.e. 1 April to 31 March). Secondly, I would like to explain that the Senior Manager Regime came into effect on 7 March 2016. Therefore only 2015-2016 onward has been included for questions 1 and 2. Finally, I would like to explain that applications forms for persons seeking approval do not include a "Gender" field. The "Title" field has been used as a proxy for gender. The "Title" field is not mandatory. Where this field has been left blank, we have put his under "Title not provided" or in cases where a non-gendered title (e.g. Dr / Prof. / Rev.) has been used, we have placed this figure under "Alternate Title". I will now respond to each part of your request in turn.

For question 1, the below table sets out the number of applications received for the FCA Senior Manager Regime in the last four financial years broken down by titles as stated in their applications:

	2015/16	2016/17	2017/18	2018/19
Mr	36	352	311	510
Mrs/Miss/Ms	26	119	118	185
Alternate title	0	2	2	10
Title not provided	5	16	3	13
Total	67	489	434	718

For question 2, the below table sets out the number of applications approved for the FCA Senior Manager Regime in the last four financial years broken down by titles as stated in their applications:

	2015/16	2016/17	2017/18	2018/19
Mr	0	304	263	335
Mrs/Miss/Ms	0	110	102	123

Alternate title	0	2	1	7
Title not provided	0	17	1	3
Total	0	433	367	468

For question 3, the below table sets out the number of applications to perform approved person functions received by the FCA that were from men and from women in the last five financial years:

	2014/15	2015/16	2016/17	2017/18	2018/19
Mr	22781	23902	17055	16178	15961
Mrs/Miss/Ms	5199	5416	3385	3485	3598
Alternate title	342	400	214	287	211
Title not provided	1348	1386	3106	3862	4333
Total	29670	31104	23760	23812	24103

Your right to complain

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 sixty days 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

Yours sincerely

Information Disclosure Team Annex A

Request received on 10 May 2019:

1. *The number of FCA Senior Managers Regime applications received each year broken down by the following titles as stated in their applications:*

- *Mr*
- *Mrs/Miss/Ms*
- *Alternate title*

2. *The number of FCA Senior Managers Regime applications that are approved each year broken down by the following titles as stated in their applications:*

- *Mr*
- *Mrs/Miss/Ms*
- *Alternate title*

Please provide the data for each year of the last five years with a year-end 31st March or whichever year-end is most convenient. If you cannot provide data for

each of the last five years, then please provide data for each of the last three years. If that is not possible, then please provide the most recent two years.

3. How many applications to perform approved person functions has the FCA received from men (Mr) and how many from women (Mrs/Miss/Ms) each year

Please provide the data for each year of the last five years with a year-end 31st March or whichever year-end is most convenient. If you cannot provide data for each of the last five years, then please provide data for each of the last three years. If that is not possible, then please provide the most recent two years.