

23 September 2019

Our Ref: FOI6734

Thank you for your new request under the Freedom of Information Act 2000 (the Act), dated 27th August 2019 for the following information below, following our recently issued internal review response under our reference FOI6359;

"Please may I request the following as per the letter I recently received from you (see attached): a list of the 3900 firms authorised to undertake regulated activity of "Managing Investments", "Managing AIF" or "Managing a UCITs".

Please could I have all 3900 firms, divided by those three permissions."

Your request has now been considered and the information you have requested can be found in the attachment above. Please note the activities "Managing an authorised AIF" and "Managing an unauthorised AIF" fall under one sole activity in the Regulated Activities Order (RAO), "Managing an AIF". The distinctions on our register are purely to demark the fund type and not the activity. Consequently, these have been grouped together in the data set attached under the RAO name.

The data has also been separated across two tabs, in two separate formats:

- A. a list of all firms in the population with a count of each regulated activity they can undertake ("Population – By Firm" tab).
- B. Three separate lists of firms for each regulated activity ("Population – By Permissions" tab).

Finally, the original figure of c. 3,900 firms counted the incidence of permissions and did not account for the fact that some of these firms would be authorised to undertake two or more of the "managing" permissions. The final number of firms adds up to c. 2,900.

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 40 working 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 / Cyber & Information Resilience Department

