

22 October 2019

Our Ref: FOI6735

### Freedom of Information: Right to know request

Thank you for your request of 24 September 2019 under the Freedom of Information Act 2000 (the Act) for information relating to the gender status of individuals registered with the FCA. Full details of your request can be found at Annex A.

Your request has now been considered and the information you have requested is provided in the table below.

In considering our response, please note the following:

1. List of "firms with permission to offer financial advice" was based on firms with the permission 'Advising on investments (except on pension Transfers and Pension Opt Outs)' (15,737 firms).
2. CF6, CF12A and CF12B functions were replaced with SMF functions in December 2018 as part of the transition of insurers to the Senior Manager's Regime.
3. The FCA does not retain records of Gender. Salutation has been used as a proxy.
  - a. Men Salutations "Earl, Lord, Mr, Prince, Sir, Viscount"
  - b. Women Salutations "Baroness, Dame, Lady, Miss, Mrs, Ms"
  - c. Gender Neutral Salutations "Captain, Doctor, Professor, Reverend, The Honourable, the Right Honourable".

### As of 1 September 2019:

Controlled Function	Men	Women	Gender Neutral	Blank	Grand Total
CF1 Director	20,635	3,779	148	35	24,597
CF2 Non-Executive Director	2,858	567	74	6	3,505
CF3 Chief Executive	3,492	209	59	7	3,767
CF4 Partner	6,985	1,146	135	1,090	9,356
CF5 Director of Unincorporated Association	2	2	0	0	4
CF6 Small Friendly Society	**	**	**	**	**
CF8 Apportionment and Oversight	209	27	3	0	239
CF10 Compliance Oversight	8,851	1,490	61	8	10,410
CF10a CASS Oversight function	273	64	2	0	339
CF11 Money Laundering Reporting	8,284	1,412	56	6	9,758
CF12 Actuarial	1	0	0	0	1
CF12A With-Profits Actuary Function	**	**	**	**	**
CF12B Lloyd's Actuary Function	**	**	**	**	**
CF28 Systems and controls	1,826	422	16	4	2,268
CF29 Significant management	1,647	337	19	3	2,006

<b>Grand Total</b>	<b>55,063</b>	<b>9,455</b>	<b>573</b>	<b>1,159</b>	<b>66,250</b>
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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](http://www.ico.org.uk)

Yours sincerely

Information Disclosure Team  
Financial Conduct Authority

## **Annex A**

**"1. As of 1 September 2019 how many registered individuals holding the below positions at FCA regulated firms that have permission to offer financial advice were women?"**

*CF 1 Director function*  
*CF 2 Non-executive director function*  
*CF 3 Chief executive function*  
*CF 4 Partner function*  
*CF 5 Directors of an unincorporated association*  
*CF 6 Small friendly society function*  
*CF 8 Apportionment and oversight function (non-MiFID business only)*  
*CF 10 Compliance oversight function*  
*CF 10A CASS Oversight Operation function*  
*CF 11 Money laundering reporting function*  
*CF 12 Actuarial function*  
*CF 12A With-profits actuary function*  
*CF 12B Lloyd's Actuary function*  
*CF 28 System and controls function*  
*CF 29 Significant management function*

**2. As of 1 September 2019, how many registered individuals holding the below positions at FCA regulated firms that have permission to offer financial advice were men?"**

*CF 1 Director function*  
*CF 2 Non-executive director function*  
*CF 3 Chief executive function*  
*CF 4 Partner function*  
*CF 5 Directors of an unincorporated association*  
*CF 6 Small friendly society function*  
*CF 8 Apportionment and oversight function (non-MiFID business only)*  
*CF 10 Compliance oversight function*  
*CF 10A CASS Oversight Operation function*  
*CF 11 Money laundering reporting function*

*CF 12 Actuarial function*  
*CF 12A With-profits actuary function*  
*CF 12B Lloyd's Actuary function*  
*CF 28 System and controls function*  
*CF 29 Significant management function"*