

5 December 2019

Our Ref: FOI6902

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 ("the Act"), dated 7 November 2019, for the following information:

"Skilled Persons - Regarding s.166 & 166A FSMA and the appointment of skilled persons, where the regulated Firm puts forward its preferred choice of skilled person for the FCA's approval and that skilled person is not on the FCA's Skilled Persons Panel:

- (i) on how many occasions in each of 2017, 2018 and the first 3 quarters of 2019 has the FCA withheld approval and*
- (ii) where the FCA has so withheld its approval, on how many occasions has the subsequently appointed and approved skilled person been selected from the Panel"*

Your request has been considered and we can confirm that, between January 2017 and September 2019, there has been only one occasion where a regulated Firm submitted a non-panel supplier as their first choice; the proposal was approved by the FCA.

The answer to your questions is therefore:

- (i) nil return
- (ii) not applicable

We trust the above satisfactorily answers your request. If you are unhappy with the outcome of 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