

3 April 2020

Our Ref: FOI7177

Thank you for your Freedom of Information request dated 6 March 2020.

You asked:

'The number of Significant Influence Function" (SIF) interviews that have been led by the FCA

The number of Significant Influence Function" (SIF) interviews that have been conducted jointly by the FCA and PRA

I would like this data broken down by quarter for the calendar year 2019 I.E. January 1 2019 – December 31 2019.'

We have considered your request in line with the provisions of the Freedom of Information Act 2000 and can confirm that we hold the information you have requested. Please find the information in the tables below:

Calendar year	Number of interviews conducted	Number of FCA Led Interviews
2019		
Q1	43	23
Q2	37	17
Q3	49	27
Q4	50	30
Total	179	(97)

Please note the figures provided relate to interviews of individuals applying to hold both Significant Influence Functions under Approved Persons (APER) and Senior Manager Functions under the Senior Management and Certificate Regime (SMCR) at authorised firms.

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, who can be contacted at:

Information Commissioner's Office,
Wycliffe House,
Water Lane,
Wilmslow,
Cheshire
SK9 5AF.

Telephone: 01625 545 700
Website: www.ico.org.uk

Thank you for your interest in the FCA

Yours sincerely,

Information Disclosure Team