

3 April 2020

Our Ref: FOI7178

Thank you for your Freedom of Information request of 6 March 2020, in which you asked for information relating to Notices of ceasing to perform controlled functions. Please refer to Annex A for full details of your request.

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:

Reason		Year				
		2015	2016	2017	2018	2019
<b>Redundancy</b>	3.01 CFs	2272	1536	1027	944	1013
	3.02 SMFs		37	51	32	61
<b>Suspension</b>	3.01 CFs	64	33	29	37	25
	3.02 SMFs		3	3	6	1
<b>Termination of Employment or Contract</b>	3.01 CFs	680	648	598	569	704
	3.02 SMFs		15	14	21	31

Please note year start date is 01 January and the year End Date 31 December.

In the year 2015 provides a nil return for Senior Manager Functions as the Senior Managers Regime was not in place at this time.

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](http://www.ico.org.uk)

Thank you for your interest in the FCA

Yours sincerely,

**Information Disclosure Team**

## **Annex A**

*Under the Freedom of Information Act and in reference to a previous FOI response with the reference number FOI6915, and based on responses to Form C (Notice of ceasing to perform controlled functions (including senior management functions), Section 3 (List of controlled functions), subsection 3.01 (list all controlled functions...) and subsection 3.02 (list all senior management functions), I would like to know:*

- *The number of responses where the 'Dismissal/termination of employment or contract' box in column B is filled in*
- *The number of responses where the 'Suspension' box in column B is filled in*
- *The number of responses where the 'Redundancy' box in column A is filled in*

*If gathering this data is not possible under the time constraints of the Freedom of Information Act, then please prioritise the information from first to last. To confirm, I would like the numbers broken down by the relevant categories (Dismissals/terminations, Suspensions, and Redundancies) for each subsections (3.01 and 3.02).*

*I would like this information broken down by calendar year for each of the last five years – I.E. January 1 – December 31. If this is not possible, please use the most convenient year-end date. Please specify which year-end is used in your response.*

*If you cannot provide data for each of the last five years, then please give me the data for each of the last three years. If this is also not possible, then please give me the data for each of the last two years.*

*If it also not possible within the timeframe of the Freedom of Information Act to gather all this data, then please prioritise getting data on 3.01 (list of all controlled functions...) over 3.02 (list all senior management functions).*