

Date: 4 June 2020

Our Ref: FOI7279

### **Freedom of Information: Right to know request**

Thank you for your email of 5 May 2020, in which you asked for:

- 1. The total number of Controlled Function holders each year*
- 2. This total number broken down by type of Controlled Function each year, as specified by the table of controlled functions in SUP 10A.4.4 R.*

We have processed your request in line with the provisions of the Freedom of Information Act 2000, and the information you have asked for is set out in the tables below.

Please note, there is a drop in the numbers between 2015 and 2016, and between 2018 and 2019. This is because a number of controlled functions at dual regulated firms were converted into Senior Management Functions following the introduction of the Senior Managers and Certification Regime in March 2016. A further drop in the number of Controlled Function holders between 2018-19 and 2019-20 was due to the full implementation of the Senior Insurance Management Function and the extension of the Senior Management and Certification Regime to solo regulated firms, in December 2018 and December 2019 respectively.

Please also note the controlled functions in SUP 10A.4.4 R have been subject to change during the relevant period. All functions that were present at one point in time in the table in SUP10A.4.4 R during the relevant period have been included

**Table 1:** Number of Controlled Function holders each year (1 April-31 March)

<b>Year</b>	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>
<b>Total</b>	29,0069	22,5136	22,8107	22,6597	211,066

**Table 2:** Total number Controlled Function holders broken down by type of Controlled Function

<b>Function</b>	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>
<b>CF1 Director</b>	43,797	41,087	42,222	42,592	40,566
<b>CF1 Director (AR)</b>	10,488	9,822	9,150	7,478	4,591
<b>CF2 Non-Executive Director</b>	11,203	7,001	7,237	7,228	6,798
<b>CF2 Non-Executive Director (AR)</b>	251	278	255	240	140
<b>CF2a Chair of the Nominations Committee</b>	13	18	26	39	0
<b>CF2b Chair of the With-Profits Committee</b>	19	23	26	25	0
<b>CF10 Compliance Oversight</b>	12,889	13,229	14,079	14,342	13,580
<b>CF3 Chief Executive</b>	7,164	6,261	6,282	6,184	5,978
<b>CF3 Chief Executive (AR)</b>	344	369	325	236	157
<b>CF4 Partner</b>	12,917	13,083	12,628	12,247	11,594
<b>CF4 Partner (AR)</b>	2,507	2,040	1,657	1,240	582
<b>CF5 Director of Unincorporated Association</b>	235	169	161	152	41
<b>CF5 Director of Unincorporated Association (AR)</b>	179	177	184	191	29
<b>CF6 Small Friendly Society</b>	125	62	52	49	2
<b>CF8 Apportionment and Oversight</b>	17,183	19,715	21,129	22,150	21,875
<b>CF10a CASS Oversight function</b>	899	838	842	857	754
<b>CF11 Money Laundering Reporting</b>	14,397	14,793	15,021	14,961	14,059
<b>CF28 Systems and controls</b>	6,370	4,712	4,458	4,268	3,873

<b>CF29 Significant management</b>	7,692	5,181	4,816	4,508	3,657
<b>CF30 Customer</b>	141,363	86,266	87,546	87,601	82,788
<b>CF40 Benchmark submission</b>	26	1	1	1	1
<b>CF50 Benchmark administration</b>	5	6	5	3	1
<b>CF51 Actuarial conduct function holder in a third country branch</b>	3	5	5	5	0
<b>Total</b>	<b>290069</b>	<b>225136</b>	<b>228107</b>	<b>226597</b>	<b>211066</b>

### Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please 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 by phone or on their website at:

Telephone: 0303 123 1113

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

Yours sincerely

Information Disclosure Team