

16 June 2020

Our Ref: FOI7309

Freedom of Information: Right to know request

Thank you for your email dated 20th May 2020 about applications approved under the Senior Manager & Certification Scheme (SMCR). Please refer to Annex A for full details of your request.

We have processed your request in line with the provisions of the Freedom of Information Act 2000 (FOIA).

We will answer each point in turn. As requested, the data provided is for the financial year of 1 April 2019 to 31 March 2020 ('2019/20').

We would like to explain that application forms for persons seeking approval do not include a "Gender" field. As requested, we have provided data held within a "Title" field. The "Title" field is not mandatory. Where this field has been left blank, we have put this under "Not provided". Titles such as Dr / Prof. / Rev have been placed under "All other titles".

We note that solo-regulated firms are included in the below numbers as these firms were converted to the SMCR in December 2019.

For question 1, the below table sets out the number of applications received under the SMCR in the last financial year broken down by titles as stated in their applications:

	2019/20
Mr	3211
Mrs/Miss/Ms	833
All other titles	49
Not recorded	246
Total	4339

For question 2, the below table sets out the number of applications approved under the SMCR in the last financial year broken down by titles as stated in their applications:

	2019/20
Mr	1546
Mrs/Miss/Ms	411
All other titles	23
Not recorded	59
Total	2039

For question 3, the below table sets out the number of applications to perform approved person functions received by the FCA broken down by Title in the last financial year:

	2019/20
Mr	13349
Mrs/Miss/Ms	3119
All other titles	181
Not recorded	2900
Total	19549

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

Yours sincerely

Information Disclosure Team

Annex A

Under the Freedom of Information Act, I would like to know:

1. The number of FCA Senior Managers Regime applications received each year broken down by the following titles as stated in their applications:

- Mr
- Mrs/Miss/Ms
- Alternate title

2. The number of FCA Senior Managers Regime applications that are approved each year broken down by the following titles as stated in their applications:

- Mr
- Mrs/Miss/Ms
- Alternate title

3. How many applications to perform approved person functions has the FCA received from men (Mr) and how many from women (Mrs/Miss/Ms) each year

Please could I have this data for 2019/20 with a year-end 31 March.