

Date: 31 July 2020

Our Ref: FOI7432

Freedom of Information: Right to know request

Thank you for your further request of 3 July 2020, for the following information:

"The number of Controlled Functions automatically converted into equivalent Senior Manager Functions, broken down by year and by type of function.

I would like data for each question for each of the last five years with a year-end of March 31."

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

Please note the automatic conversion of Controlled Functions into Senior Management Functions applied to solo-regulated firms (Core, Limited Scope, and Branches only) and was finalised on 9 December 2019.

Controlled Function	Senior Management Function	Number
CF1 Director	SMF3 Executive Director	33785
CF3 Chief Executive (Core and Limited Scope)	SMF1 Chief Executive	4783
CF3 Chief Executive (Third Country Branches Only)	SMF19 Head of Overseas Branch/Head of Overseas	22
CF4 Partner (Third Country Branches)	SMF3 Executive Director	3
CF4 Partner (Core and Limited)	SMF27 Partner	8654
CF5 Director of Unincorporated Association	SMF3 Executive Director	36
CF6 Small Friendly Society	SMF3 Executive Director	1
CF8 Apportionment and Oversight	SMF29 Limited scope function (limited scope SMCR firms only)	19487
CF10 Compliance Oversight	SMF16 Compliance Oversight	12078
CF11 Money Laundering Reporting	SMF17 Money Laundering Reporting Officer (MLRO)	12327
CF29 Significant management	SMF21 EEA Branch Senior Manager (EBSM)	68

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 at FreedomofInformationAppeals@fca.org.uk.

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