

Date: 21 August 2020

Our Ref: FOI7496

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

Thank you for your email of 27 July 2020, in which you asked for the following information:

*Please may I have an update on the below for 2019 and 2020 for CF10/11s and SMF16/17s*

*(for those who hold both functions and those who hold 10 or 11, or SMF16 or 17. I.e. a pure update on below).*

*FOI5749*

*"I have previously requested information relating to the sex of CF10 and CF 11 holders over the years.*

*Please can I request an update of this for the last five years – with the addition of columns now for SMF16 and 17 holders.*

*I would like to know the breakdown of sex by function."*

*FOI4462*

*"Please can I have the below functions split by gender where the applicant has stated Mr, Ms, Mrs and Miss in their application.*

*How many Control Function 10 Holders are women*

*How many Control Function 11 Holders are men*

*How many Control Function 10 and 11 holders are women*

*How many Control Function 10 and 11 holders are men*

We have processed your email in line with the provisions of the Freedom of Information Act 2000 (FOIA) and our response can be found in Annex A below.

It is important to note that the SMF16 and SMF 17 figures for 2019 reflect those functions held at dual-regulated firms that were subject to the Senior Managers and Certification Regime (SMCR) at the time. On 9 December 2019, the SMCR was extended to the majority of FCA solo-regulated entities and therefore, functions previously held under the Approved Person

Regime were in many cases converted to the corresponding functions under the SMCR. This explains the significant decrease in CF10 and CF11 function holders between 2019 and 2020 and the corresponding increase in SMF16 and SMF17 function holder over the same period.

### **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](mailto: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](http://www.ico.org.uk)

## Annex A

Individuals who currently hold both CF11 and 10 Controlled Functions (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	7375	1077	65	8517
Individuals who currently hold CF11 (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	9978	1688	92	11758
Individuals who currently hold CF10 (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	9794	1598	83	11475

Individuals who currently hold both CF11 and 10 Controlled Functions (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	2	0	0	2
Individuals who currently hold CF11 (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	13	4	1	18
Individuals who currently hold CF10 (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	7	1	0	8

Individuals who currently hold both SMF16 and 17 Functions (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	166	61	2	229
Individuals who currently hold SMF17 (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	553	295	18	866
Individuals who currently hold SMF16 (23/03/2019)	Men	Women	Unable to determine gender from title	Total
	324	136	5	465

Individuals who currently hold both SMF16 and 17 Functions (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	7386	1138	58	8582
Individuals who currently hold SMF17 (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	10196	1958	99	12253
Individuals who currently hold SMF16 (23/03/2020)	Men	Women	Unable to determine gender from title	Total
	10118	1802	84	12004