

Date: 24 November 2020

Our Ref: FOI7756

Dear

Freedom of Information: Right to know request

Thank you for your email of 27 October 2020 about Form C notifications. Full details of your request can be found in Annex A below.

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA).

We can disclose some of the information which for each question is set out in the tables below.

In reading our response, please be aware we note your comments allowing us to just consider the readily available data during the five year period requested. We have therefore provided data which we have been able to easily extract within the cost limit allowed under FOIA. We have presented the available data for the last five years with a year-end date of 30 September 2020.

Question1

Table 1 Form C Senior Management Functions

Reason	01/10/2015 - 30/09/2016	01/10/2016 - 30/09/2017	01/10/2017 - 30/09/2018	01/10/2018 - 30/09/2019	01/10/2019 - 30/09/2020
Redundancy	24	48	43	41	223
Suspension	2	4	4	2	4
Termination of Employment or Contract	8	17	20	24	110

Question 2

Table 2 Form C Controlled Functions

Reason	01/10/2015 - 30/09/2016	01/10/2016 - 30/09/2017	01/10/2017 - 30/09/2018	01/10/2018 - 30/09/2019	01/10/2019 - 30/09/2020
Redundancy	1957	1083	947	1022	264
Suspension	43	23	41	27	9
Termination of Employment or Contract	654	617	572	692	279

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

Yours sincerely

Information Disclosure Team
Financial Conduct Authority

Annex A:

Under the Freedom of Information Act, and in reference to this [form](#), [Form C Notifications]

I would like to know the following:

1. Under section 3A.01, I would like to know the number of notices of ceasing to perform senior management functions the FCA has received where the reason given was:
 - o Redundancy
 - o Dismissal/ termination of employment or contract
 - o Suspension

2. Under section 3B.01, I would like to know the number of notices of ceasing to perform controlled functions the FCA has received where the reason stated was:
- o Redundancy
 - o Dismissal/ termination of employment or contract
 - o Suspension

Please separate the data for each reason given and for senior management functions and controlled functions.

I would like the data broken down for each month for each of the last five years with a year-end date of 30 September or whichever year-end is most convenient. If you cannot provide data for each month for each of the last five years, then please provide data for each month for each of the last three years. If that is not possible, then please provide data for each month for each of the most recent two years.

If you cannot break the data down for each month, then please break the data down for each of the last five years with a year-end of 30 September or whichever year-end is most convenient. If you cannot provide data for each of the last five years, then please provide data for each of the last three years. If that is not possible, then please provide data for each of the most recent two years.