

Date: 2 February 2021

Our Ref: FOI7928

Dear

Freedom of Information: Right to know request

Thank you for your email of 7 January 2021 about Alternative Investment Fund Manager (AIFM) populations.

You are interested in:

- a. The number of FCA-only authorised firms as of 7 Jan 2021 with the permissions set out in questions 1-10 below.
- b. Please provide this data with Firm Reference Numbers under each heading 1-10 below.

[To clarify, all regulated activities are covered by designated investment business only]

We have processed your email in line with the provisions of the Freedom of Information Act 2000 (FOIA). Please be advised that the information provided below is correct as at 11 January 2021.

1. All firms with the Managing an unauthorised AIF permission, with the Small AIFM Requirement without any other regulated activities (aside from Agreeing)

105

2. All firms with the Managing an unauthorised AIF permission, with the Small AIFM Requirement and with the MiFID Article 2 Exemption Requirement.

71

3. All firms with the Managing an unauthorised AIF permission, with the Small AIFM Requirement and the CAD Exempt Requirement.

51

4. All firms with the Managing an unauthorised AIF permission, with the Small AIFM Requirement and the BIPRU firm Requirement.

176

5. All firms with the Managing an unauthorised AIF permission, with the CPMI firm Requirement without any other regulated activities.

1

6. All firms with the Managing an unauthorised AIF permission, with the CPMI firm Requirement without the Managing investments activity.

2

7. All firms with the Managing an unauthorised AIF permission, with the CPMI firm Requirement and with the MiFID Article 2 Exemption Requirement.

1

8. All other firms with the Managing an unauthorised AIF permission, with the CPMI firm Requirement not captured in (5), (6) or (7) above.

506

9. All firms with the Managing an unauthorised AIF permission, without the Small AIFM or CPMI firm Requirements but with the MiFID Article 2 Exemption Requirement.

27

10. All firms with the Managing an unauthorised AIF permission, without the Small AIFM or CPMI firm Requirements but with other regulated activities.

99

The firm reference numbers for each question can be found in Annex A, attached.

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