

Date: 5 March 2021

Our Ref: FOI8024

Dear

Freedom of Information: Right to know request

Thank you for your email of Friday 5 February 2021, in which you asked for:

'I would like a list of investment firms with FCA permissions to deal in investment as agent. Please include in the list only those investment firms with matched principle trading capacity. I would like you to send this information in Portable Document Format to my email address.'

We have processed your email in line with the provisions of the Freedom of Information Act 2000 (FOIA) and the list of firms relevant to your request is in the attached annex. There are 806 firms that meet the criteria of:

Regulated activity = 'Dealing in investments as agent' with Regulated Activity Category = 'Designated Investment Business'

and

Regulated activity = 'Dealing in investments as Principal' with Regulated Activity Category = 'Designated Investment Business'.

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