

23 March 2021  
Our Ref: FOI8093

Dear

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

Thank you for your email of 23 February 2021, in which you asked:

*'With reference to a previous FOI request (FOI7279: : Controlled Function holders), I would like to know the number of roles opened and the number of roles closed each year within the FCA and PRA's senior management functions, broken down by function (e.g. SMF1 / SMF2), for the last five years'.*

We are handling your email as a request for information under the Freedom of Information Act 2000 (FOIA) and our response is contained in the tables below.

**Roles Opened**

Involvement Type	2016	2017	2018	2019	2020	2021	Grand Total
<b>SMF1 (AR) Chief Executive function</b>	0	0	0	5	6	1	12
<b>SMF1 Chief Executive</b>	286	39	389	5309	1153	167	7343
<b>SMF10 Chair of the Risk Committee</b>	234	66	288	301	177	37	1103
<b>SMF11 Chair of the Audit Committee</b>	254	60	310	313	127	31	1095
<b>SMF12 Chair of the Remuneration Committee</b>	193	54	222	260	129	22	880
<b>SMF13 Chair of the Nominations Committee</b>	159	7	34	172	75	6	453

<b>SMF14 Senior Independent Director</b>	132	34	184	117	72	17	556
<b>SMF15 Chair of With Profits Committee</b>	0	0	23	17	2	2	44
<b>SMF16 Compliance Oversight</b>	338	115	324	1266 1	2229	296	15963
<b>SMF17 Money Laundering Reporting Officer (MLRO)</b>	672	146	364	1286 3	1908	306	16259
<b>SMF18 Other Overall Responsibility</b>	563	165	254	660	870	99	2611
<b>SMF19 Head of Overseas Branch/Head of Overseas</b>	93	18	45	56	32	23	267
<b>SMF2 Chief Finance</b>	370	56	386	466	229	39	1546
<b>SMF20 Chief Actuary</b>	0	0	301	51	54	6	412
<b>SMF20a With-Profits Actuary</b>	0	0	42	9	10	0	61
<b>SMF21 EEA Branch Senior Manager (EBSM)</b>	243	36	52	124	94	23	572
<b>SMF22 Other Local Responsibility</b>	215	53	39	31	27	8	373
<b>SMF23 Chief Underwriting Officer</b>	0	0	201	39	53	8	301
<b>SMF23a Underwriting Risk Oversight (Lloyd's)</b>	0	0	3	0	0	0	3
<b>SMF23b Conduct Risk Oversight (Lloyd's)</b>	0	0	0	1	0	0	1
<b>SMF24 Chief Operations</b>	0	8	214	628	429	36	1315
<b>SMF25 Small Insurer Senior Management Function</b>	1	0	172	12	2	1	188
<b>SMF26 Head of Small Run-Off Firm</b>	0	0	0	1	5	0	6
<b>SMF27 Partner</b>	0	1	1	8863	709	105	9679
<b>SMF29 Limited scope function (limited scope SMCR firms only)</b>	0	0	4	1963 5	2697	424	22760
<b>SMF3 (AR) Executive Director function</b>	0	0	0	832	60	24	916

<b>SMF3 Executive Director</b>	701	59	578	35348	4735	674	42095
<b>SMF4 (AR) Partner function</b>	0	0	0	29	5	0	34
<b>SMF4 Chief Risk</b>	300	75	362	363	264	61	1425
<b>SMF5 Head of Internal Audit</b>	235	34	273	261	236	30	1069
<b>SMF6 Head of Key Business Areas</b>	104	22	49	43	25	10	253
<b>SMF7 Group Entity Senior Manager</b>	215	48	605	654	809	67	2398
<b>SMF8 Credit Union Senior Manager</b>	1970	104	92	102	77	17	2362
<b>SMF9 Chair of the Governing Body</b>	254	59	368	1149	1020	104	2954
<b>Grand Total</b>	<b>7532</b>	<b>1259</b>	<b>6179</b>	<b>101375</b>	<b>18320</b>	<b>2644</b>	<b>137309</b>

#### Roles Closed

<b>Involvement Type</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>Grand Total</b>
<b>SMF1 Chief Executive</b>	43	48	78	230	887	129	1415
<b>SMF10 Chair of the Risk Committee</b>	34	57	56	97	133	28	405
<b>SMF11 Chair of the Audit Committee</b>	39	59	54	112	130	19	413
<b>SMF12 Chair of the Remuneration Committee</b>	31	46	59	81	97	13	327
<b>SMF13 Chair of the Nominations Committee</b>	130	7	8	20	36	7	208
<b>SMF14 Senior Independent Director</b>	17	37	38	68	83	13	256
<b>SMF15 Chair of With Profits Committee</b>	0	0	0	12	6	2	20
<b>SMF16 Compliance Oversight</b>	78	91	89	269	1706	288	2521
<b>SMF17 Money Laundering Reporting Officer (MLRO)</b>	112	152	138	305	1909	271	2887

<b>SMF18 Other Overall Responsibility</b>	89	156	211	217	393	72	1138
<b>SMF19 Head of Overseas Branch/Head of Overseas</b>	15	16	21	31	30	2	115
<b>SMF2 Chief Finance</b>	41	58	89	169	187	37	581
<b>SMF20 Chief Actuary</b>	0	0	6	73	55	10	144
<b>SMF20a With-Profits Actuary</b>	0	0	2	8	13	0	23
<b>SMF21 EEA Branch Senior Manager (EBSM)</b>	36	50	45	72	74	6	283
<b>SMF22 Other Local Responsibility</b>	29	47	56	53	30	3	218
<b>SMF23 Chief Underwriting Officer</b>	0	0	7	62	47	3	119
<b>SMF23a Underwriting Risk Oversight (Lloyd's)</b>	0	0	0	1	2	0	3
<b>SMF23b Conduct Risk Oversight (Lloyd's)</b>	0	0	0	0	1	0	1
<b>SMF24 Chief Operations</b>	0	0	22	84	221	36	363
<b>SMF25 Small Insurer Senior Management Function</b>	0	0	1	34	7	2	44
<b>SMF26 Head of Small Run-Off Firm</b>	0	0	0	0	2	0	2
<b>SMF27 Partner</b>	0	0	0	233	980	170	1383
<b>SMF29 Limited scope function (limited scope SMCR firms only)</b>	0	8	16	250	2101	342	2717
<b>SMF3 (AR) Executive Director function</b>	0	0	0	15	111	43	169
<b>SMF3 Executive Director</b>	404	77	77	747	4477	731	6513
<b>SMF4 (AR) Partner function</b>	0	0	0	2	3	1	6
<b>SMF4 Chief Risk</b>	46	70	62	129	259	39	605
<b>SMF5 Head of Internal Audit</b>	38	43	39	102	140	18	380
<b>SMF6 Head of Key Business Areas</b>	22	18	24	30	36	8	138
<b>SMF7 Group Entity Senior Manager</b>	38	41	87	270	362	41	839

<b>SMF8 Credit Union Senior Manager</b>	104	157	203	189	160	42	855
<b>SMF9 Chair of the Governing Body</b>	41	52	73	119	362	69	716
<b>Grand Total</b>	<b>138 7</b>	<b>129 0</b>	<b>156 1</b>	<b>408 4</b>	<b>150 40</b>	<b>244 5</b>	<b>25807</b>

### **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)

**Yours sincerely,  
Information Disclosure Team**

