



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY

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(http://www.bankofengland.co.uk/pru/pages/default.aspx)

The Financial Services Register (ShPo_HomePage)

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Mr Olivier Hochberg

Status: Inactive

(Reference number OXH01004)

An individual (and some firms) previously approved to perform certain tasks in a regulated firm. Such individuals were described as "approved persons" and the tasks as "controlled functions". For 'inactive' refer to home page.

Report a scam or firm

See [what to do if you have been scammed \(https://www.the-fca.org.uk/consumers/report-scam-unauthorised-firm\)](https://www.the-fca.org.uk/consumers/report-scam-unauthorised-firm), or think you have been contacted by fraudsters.

Basic Details

Contact us

Controlled functions - current

Controlled functions are the tasks that an individual (and some firms) must be approved for so they can perform them in an authorised firm.

‘(AR)’ in the Controlled Functions column is used to show that the person performs/performed the function in a company or partnership which is/was an Appointed Representative of an authorised Principal firm. In this situation, it is the name of the Principal firm that is shown in the Firm Name column as it is that firm that is responsible for the appointed representatives regulated activities.--- **The FCA have no record for controlled functions associated with this firm or individual.** --

History

Controlled functions - previous

Controlled functions are the tasks that an individual (and some firms) must be approved for so they can perform them in an authorised firm.

There are 2 reasons an individual may be shown as ‘inactive’. Either they are no longer approved by the FCA, or they may work for a firm subject to the new Senior Managers and Certification Regime, effective from 7 March 2016, which covers banks, building societies, credit unions and PRA designated investment firms. In these firms only Senior Managers are pre-approved. Firms now assess other functions such as Customer Functions (CF30s) (including retail investment advisers). Individuals will show a current status of ‘Inactive’ on the register in these firms if they used to be approved by the FCA. If an adviser is not listed, or shown as ‘inactive’, and you would like to check their status, you should confirm this directly with the firm the adviser is currently working with.

‘(AR)’ in the Controlled Functions column is used to show that the person performs/performed the function in a company or partnership which is/was an Appointed Representative of an authorised Principal firm. In this situation, it is the name of the Principal firm that is shown in the Firm Name column as it is that firm that is responsible for the appointed representatives regulated activities.

Contact the FCA

(<http://www.fca.org.uk/site-info/contact>) for firm or consumer queries and Register help.

Contact the PRA

(<http://www.bankofengland.co.uk/pages/>) for prudential queries about banks, building societies, credit unions, insurance firms.

Controlled Functions	Firm Name	Start Date	End Date	Restriction	Suspension / Restriction Start Date	Suspension / Restriction End Date
CF21 Investment Adviser	BGC International (/ShPo_FirmDetailsPage?id=001b000000MfFPuAAN)	01/12/2001	07/10/2002			
CF26 Customer Trading	BGC International LP (/ShPo_FirmDetailsPage?id=001b000000MfagXAAR)	11/07/2005	31/10/2007			
CF26 Customer Trading	BGC Brokers L.P (/ShPo_FirmDetailsPage?id=001b000000Mfe5TAAR)	02/10/2007	31/10/2007			
CF26 Customer Trading	BGC International (/ShPo_FirmDetailsPage?id=001b000000MfFPuAAN)	01/12/2001	11/07/2005			
CF26 Customer Trading	BGC International (/ShPo_FirmDetailsPage?id=001b000000MfFPuAAN)	11/07/2005	31/10/2007			
CF30 Customer	BGC International LP (/ShPo_FirmDetailsPage?id=001b000000MfagXAAR)	01/11/2007	22/12/2008			

Controlled Functions	Firm Name	Start Date	End Date	Restriction	Suspension / Restriction Start Date	Suspension / Restriction End Date
CF30 Customer	BGC Brokers L.P (/ShPo_FirmDetailsPage?id=001b000000Mfe5TAAR)	01/11/2007	04/09/2009			
CF30 Customer	BGC International (/ShPo_FirmDetailsPage?id=001b000000MfFPuAAN)	01/11/2007	22/12/2008			

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