

Number of skilled persons reports commissioned in Q4 2016/17

Figure 1

Firm Business Type	Number of Skilled Person Reports Commissioned in Q4 2016/17
Personal Investment	3
Investment Management	1
Securities & Futures	0
Bank (inc Building Societies)	3
Insurance Companies (Note 5)	0
General Insurance Brokers	0
Home Finance Business / Mortgage	0
Professional firms	0
Stockbroker	1
Credit Union	0
Consumer Credit (Note 6)	0
Other (Note 7)	0
Total	8

Figure 1 Notes:

1. Figures are as at 31 March 2017.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the 8 Skilled Person Reviews commissioned in Q4, none were commissioned under the FCA's power introduced in the Financial Services Act 2012, to contract directly with a skilled person.
4. The figures provided in the table are based on the position as at the date of publication and may change.
5. The Insurance Companies category include Lloyd's members' agents, Lloyd's managing agents and Lloyd's agents.
6. The Consumer Credit category includes credit broking, unsecured lending, secured lending, debt collection and debt management firms.
7. The "Other" category includes business types such as Friendly Societies, CIS trustees, CIS administrators, advising and arranging intermediaries (excluding financial advisers and stockbrokers), media firms and service companies.

Figure 2

FCA Conduct Classification Categories/Lot of Skilled Person Report	Fixed	Flexible	Total
Lot 4 Governance, Controls and Risk Management Frameworks	1	1	2
Lot 5 Conduct of Business	0	5	5
Lot 7 Financial Crime	0	1	1
Total	1	7	8

Figure 2 Notes:

1. Details of the definitions of the FCA's conduct classifications can be found in 'The FCA's Approach to Supervision for fixed portfolio firms' and 'The FCA's Approach to Supervision for flexible portfolio firms' on the FCA's website.
2. Details of the different Skilled Person Report categories or Lots can be found on the FCA's website.
3. Indicative categorisation for consumer credit firms operating with interim permissions is based on information supplied by firms to date and may be subject to change.

Figure 3

Skilled Person Firm	Governance, Controls and Risk Frameworks	Conduct of Business	Financial Crime	
BDO LLP	0	0	1	
Clifford Chance LLP	1	0	0	
KPMG LLP	0	1	0	
Mazar LLP	1	0	0	
Not yet appointed	0	4	0	
TOTAL	2	5	1	8

Figure 3 Notes:

1. Where a firm contracts with a Skilled Person Firm, the firm is responsible for the selection and appointment of the Skilled Person Firm, with the FCA approving any such selection in accordance with SUP 5.4.8G.