

**Number of skilled persons reports commissioned in Q1 14/15**

**Figure 1.**

<b>Firm Business Type</b>	<b>Number of Skilled Person Reports Commissioned in Q1 14/15</b>
Personal Investment	1
Investment Management	0
Securities & Futures	0
Bank (inc Building Societies)	5
Insurance Companies (Note 5)	2
General Insurance Brokers	1
Home Finance Business / Mortgage	0
Professional firms	0
Credit Union	0
Consumer Credit (Note 6)	2
Other (Note 7)	0
<b>Total</b>	<b>11</b>

**Figure 1 Notes:**

1. Figures are as at 30 June 2014.
2. Business type figures based on the FSA/FCA Firm Primary Category type.
3. Of the eleven Skilled Person Reviews in Q1, three were commissioned under the FCA's new 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 figures includes Lloyd's Members' agents, Lloyd's Managing agents and Lloyd's agents.
6. Consumer Credit category includes: Credit Broking, Unsecured Lending, Secured Lending, Debt Collection and Debt Management firms.
7. "Other" category includes: Friendly Societies, CIS Trustees, CIS Administrators, Advising and arranging intermediaries (exc. FAs and Stockbrokers), Media firms and Service Companies.

**Figure 2.**

<b>FCA Conduct Rating / Categories/Lot of Skilled Person Report</b>	<b>C1</b>	<b>C2</b>	<b>C3</b>	<b>C4</b>	<b>Total</b>
Lot 3 Client Assets	1	0	0	0	1
Lot 4 Governance, Controls and Risk Management Frameworks	0	3	1	0	4
Lot 5 Conduct of Business	0	1	2	1	4
Lot 7 Financial Crime	0	1	1	0	2
<b>Total</b>	<b>1</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>11</b>

**Figure 2 Notes:**

1. Details of the definitions of the FCA's Conduct Ratings can be found in 'The Journey to the FCA' on the FCA's website.
2. Details of the different Skilled Person Report categories or Lots can be found on the FCA 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.**

<b>Skilled Person Firm</b>	<b>Client Assets</b>	<b>Governance, Controls and Risk Management Frameworks</b>	<b>Conduct of Business</b>	<b>Financial Crime</b>	
<b>BDO LLP</b>	0	0	1	0	
<b>Deloitte LLP</b>	0	1	2	0	
<b>Ernst &amp; Young LLP</b>	0	1	0	0	
<b>Grant Thornton LLP</b>	1	0	0	0	
<b>KPMG LLP</b>	0	1	0	0	
<b>Not yet appointed</b>	0	1	1	2	
<b>Total</b>	<b>1</b>	<b>4</b>	<b>4</b>	<b>2</b>	<b>11</b>

**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.
2. For eight of the eleven Skilled Person Reviews the firm, in the majority of cases, appointed the Skilled Person to be used, conducting their own selection process to identify an appropriate Skilled Person for the review.