

Number of skilled persons reports commissioned in Q4 2014/15

Figure 1.

Firm Business Type	Number of Skilled Person Reports Commissioned in Q4 2014/15
Personal Investment	8
Investment Management	1
Securities & Futures	0
Bank (inc Building Societies)	1
Insurance Companies (Note 5)	0
General Insurance Brokers	1
Home Finance Business / Mortgage	0
Professional firms	0
Credit Union	0
Consumer Credit (Note 6)	4
Other (Note 7)	0
Total	15

Figure 1 Notes:

1. Figures are as at 30 April 2015.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the fifteen Skilled Person Reviews commissioned in Q4, eight 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 include 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. The "Other" category includes 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	C1	C2	C3	C4	Total
Lot 3 Client Assets	1	0	0	2	3
Lot 4 Governance, Controls and Risk Management Frameworks	0	0	0	0	0
Lot 5 Conduct of Business	0	2	1	9	12
Lot 6 Data and IT Infrastructure	0	0	0	0	0
Lot 7 Financial Crime	0	0	0	0	0
Total	1	2	1	11	15

Figure 2 Notes:

1. Details of the definitions of the FCA’s conduct classifications 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.

Skilled Person Firm	Client Assets	Governance, Controls and Risk Frameworks	Conduct of Business	Data IT & Infrastructure	Financial Crime	
ATEB Business Solutions Ltd	0	0	1	0	0	
Baker Tilly	0	0	1	0	0	
Deloitte LLP	1	0	8	0	0	
Ernst and Young LLP	1	0	0	0	0	
Grant Thornton UK LLP	0	0	1	0	0	
KPMG LLP	0	0	1	0	0	
PricewaterhouseCoopers LLP	1	0	0	0	0	
Total	3	0	12	0	0	15

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 seven of the fifteen Skilled Person Reviews the firm appointed the Skilled Person to be used, conducting their own selection process to identify an appropriate Skilled Person for the review.