

**Number of skilled persons reports commissioned in Q1 2016/17**

**Figure 1.**

<b>Firm Business Type</b>	<b>Number of Skilled Person Reports Commissioned in Q1 2016/17</b>
Personal Investment	3
Investment Management	4
Securities & Futures	0
Bank (inc Building Societies)	1
Insurance Companies (Note 5)	0
General Insurance Brokers	2
Home Finance Business / Mortgage	0
Professional firms	0
Stockbroker	5
Credit Union	0
Consumer Credit (Note 6)	0
Other (Note 7)	2
<b>Total</b>	<b>17</b>

**Figure 1 Notes:**

1. Figures are as at 30 June 2016.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the seventeen Skilled Person Reviews commissioned in Q1, two 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.**

<b>FCA Conduct Classification Categories/Lot of Skilled Person Report</b>	<b>Fixed</b>	<b>Flexible</b>	<b>Total</b>
Lot 3 Client Assets	0	1	<b>1</b>
Lot 4 Governance, Controls and Risk Management Frameworks	2	0	<b>2</b>
Lot 5 Conduct of Business	0	12	<b>12</b>
Lot 7 Financial Crime	1	0	<b>1</b>
Lot 10 Prudential - Investment Firms, Intermediaries and Recognised Investment Exchanges	1	0	<b>1</b>
<b>Total</b>	<b>4</b>	<b>13</b>	<b>17</b>

**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 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 & Risk Frameworks	Conduct of Business	Financial Crime	Prudential - Investment Firms, Intermediaries & Recognised Investment Exchanges	
BDO LLP with Oxera	1	0	0	0	0	
Complyport Limited	0	0	1	0	0	
Ernst & Young LLP	0	0	0	0	1	
Deloitte LLP	0	0	1	0	0	
FTI Consulting LLP	0	0	0	1	0	
Grant Thornton UK LLP	0	0	4	0	0	
Huntswood CTC Limited	0	0	1	0	0	
Macfarlanes LLP	0	0	1	0	0	
Moore Stephens LLP	0	0	1	0	0	
PricewaterhouseCoopers LLP	0	2	1	0	0	
Not yet appointed	0	0	2	0	0	
<b>TOTAL</b>	<b>1</b>	<b>2</b>	<b>12</b>	<b>1</b>	<b>1</b>	<b>17</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 each Skilled Person Review the firm appointed the Skilled Person to be used, conducting their own selection process to identify an appropriate Skilled Person for the review.