

Number of skilled persons reports commissioned in Q3 2016/17

Figure 1.

| Firm Business Type | Number of Skilled Person Reports Commissioned in Q3 2016/17 |
|----------------------------------|--|
| Personal Investment | 1 |
| Investment Management | 5 |
| Securities & Futures | 0 |
| Bank (inc Building Societies) | 1 |
| Insurance Companies (Note 5) | 5 |
| General Insurance Brokers | 1 |
| Home Finance Business / Mortgage | 0 |
| Professional firms | 0 |
| Stockbroker | 0 |
| Credit Union | 1 |
| Consumer Credit (Note 6) | 0 |
| Other (Note 7) | 1 |
| Total | 15 |

Figure 1 Notes:

1. Figures are as at 31 December 2016.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the 15 Skilled Person Reviews commissioned in Q3, one was 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 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 3 Client Assets | 1 | 1 | 2 |
| Lot 4 Governance, Controls and Risk Management Frameworks | 1 | 3 | 4 |
| Lot 5 Conduct of Business | 3 | 3 | 6 |
| Lot 6 Data and IT Infrastructure | 0 | 0 | 0 |
| Lot 7 Financial Crime | 0 | 0 | 0 |
| Lot 9 Prudential Insurance | 1 | 0 | 1* |

| | | | |
|--|----------|----------|-----------|
| Lot 10 Prudential - Investment Firms, Intermediaries and Recognised Investment Exchanges | 1 | 1 | 2 |
| Total | 7 | 8 | 15 |

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.
4. * Whilst Lot 9 is titled Prudential Insurance, the Lot description refers to a specific technical specialism which was required for a particular review and was therefore deemed the most appropriate to use.

Figure 3.

| Skilled Person Firm | Client Assets | Governance, Controls and Risk Frameworks | Conduct of Business | Prudential - Investment Firms, Intermediaries and Recognised Investment Exchanges | |
|-----------------------------|---------------|--|---------------------|---|-----------|
| ATEB Business Solutions Ltd | 0 | 0 | 1 | 0 | |
| Bovill Limited | 1 | 0 | 0 | 0 | |
| Ernst & Young LLP | 0 | 0 | 1 | 0 | |
| KPMG LLP | 1 | 0 | 1 | 0 | |
| Pricewaterhouse Coopers LLP | 0 | 1 | 0 | 0 | |
| Telos Solutions Ltd | 0 | 0 | 1 | 0 | |
| Not yet appointed | 0 | 3 | 3 | 2 | |
| TOTAL | 2 | 4 | 7 | 2 | 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.