

Number of skilled persons reports commissioned in Q3 2017/18

Figure 1.

Firm Business Type	Number of Skilled Person Reports Commissioned in Q3 2017/18
Personal Investment	0
Investment Management	3
Securities & Futures	0
Bank (inc Building Societies)	3
Insurance Companies (Note 4)	2
General Insurance Brokers	0
Home Finance Business / Mortgage	0
Professional firms	0
Stockbroker	1
Credit Union	0
Consumer Credit (Note 5)	0
Other (Note 6)	1
Total	10

Figure 1 Notes:

1. The figures stated are correct as at 31 December 2017 but may be subject to change.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the ten Skilled Person Reviews commissioned in Q3, one was commissioned under the FCA's power to contract directly with a skilled person.
4. The Insurance Companies include Lloyd's members' agents, Lloyd's managing agents and Lloyd's agents.
5. Consumer Credit category includes credit broking, unsecured lending, secured lending, debt collection and debt management firms.
6. 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 C - Controls and risk management frameworks	1	1	2
Lot D - Conduct of Business	0	2	2
Lot E - Financial Crime	0	4	4
Lot H - Prudential – credit, market, pension and liquidity risk within investment firms, intermediaries and Recognised Investment Exchanges	1	0	1
Lot J - Technology and Information Management	1	0	1
Total	3	7	10

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.

Figure 3.

Skilled Person Firm	Controls and risk management frameworks	Conduct of Business	Financial Crime	Prudential – credit, market, pension and liquidity risk within investment firms, intermediaries and Recognised Investment Exchanges	Technology and Information Management	
BDO LLP			2			
Deloitte LLP					1	
Duff & Phelps			1			
Eversheds	1					
Grant Thornton	1			1		
Not yet appointed		2	1			
TOTAL	2	2	4	1	1	10

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.