

Number of skilled persons reports commissioned in Q2 2014/15

Figure 1

Firm Business Type	Number of Skilled Person Reports Commissioned in Q2 2014/15
Personal Investment	0
Investment Management	0
Securities & Futures	0
Banks (inc Building Societies)	4
Insurance Companies (Note 4)	0
General Insurance Brokers	0
Home Finance Business / Mortgage	1
Professional firms	2
Credit Unions	0
Consumer Credit (Note 5)	7
Other (Note 6)	0
Total	14

Figure 1 Notes

1. Figures are as at 30 September 2014.
2. Business type figures based on the FCA Firm Primary Category type.
3. Of the fourteen Skilled Person Reviews commissioned in Q2, one was commissioned under the FCA's power introduced in the Financial Services Act 2012 to contract directly with a skilled person.
4. The Insurance Companies category includes 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 Friendly Societies, CIS trustees, CIS administrators, advising and arranging intermediaries (excluding financial advisers and stockbrokers), media firms and service companies.

Figure 2

FCA Conduct Rating Categories/Lot of Skilled Person Report	C1	C2	C3	C4	Total
Lot 3 Client Assets	1	0	0	1	2
Lot 4 Governance, Controls and Risk Management Frameworks	0	0	0	1	1
Lot 5 Conduct of Business	1	0	2	7	10
Lot 7 Financial Crime	1	0	0	0	1
Total	3	0	2	9	14

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's 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 Management Frameworks	Conduct of Business	Financial Crime	
ATEB Business Solutions Ltd	0	0	2	0	
BDO LLP	0	0	1	0	
Bovil Limited	0	0	1	0	
The Consulting Consortium	0	1	1	0	
Broomfield & Alexander Advisors (3)	1	0	0	0	
Hogan Lovells International LLP	0	0	1	0	
Deloitte LLP	0	0	1	0	
KPMG LLP	1	0	0	0	
Not yet appointed	0	0	3	1	
Total	2	1	10	1	14

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 thirteen of the fourteen 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.
3. Broomfield & Alexander Advisors are not on the FCA's panel of Skilled Person Firms and were approved to conduct one review due to exceptional circumstances in a regulated firm.