2022 FCA Fines





TSB Bank Plc

Amount: £29,750,000 20/12/2022

This Final Notice refers to breaches of PRIN 2 related to failing to exercise due skill, care and diligence and PRIN 3 for not taking reasonable care in organising and controlling its affairs responsibly and effectively, with adequate risk management systems, in the retail banking sector.



Metro Bank Plc

Amount: £10,002,300 12/12/2022

The Final Notice refers to breaches of Listing **Rules 1.3.3R related to misleading information not** to be published in the Retail Bank sector.



Santander UK Plc

Amount: £107,793,300 08/12/2022

This Final Notice refers to breaches of PRIN 3 related to the risk of financial crime in the Retail **Banking sector.**



BGC Brokers LP, GFI Securities Limited & GFI Brokers Limited

Amount: £4,775,200 07/12/2022

This Final Notice refers to breaches of Principle 3 of the FCA's Principles for Businesses and Article 16(2) of the Market Abuse Regulation related to market protection and wholesale conduct in the Trading Firm sector.



Pembrokeshire Mortgage Centre Limited

Amount: £2,354,331 01/12/2022

This Final Notice refers to breaches of Principles 3, 7 and 9 related to the provision of unsuitable defined benefit pension transfer advice in the pensions sector.





Gatehouse Bank Plc

Amount: £1,584,100 12/10/2022

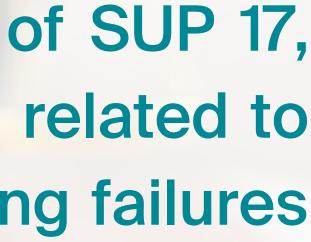
This Decision Notice refers to breaches of the Money Laundering Regulations 2007 related to financial crime in the Retail bank sector.



Sigma Broking Limited

Amount: £531,600 04/10/2022

This Final Notice refers to breaches of SUP 17, SUP 15, PRIN 3 and Article 16 of MAR related to market abuse and transaction reporting failures in the trading firm sector.





Matthew Kent

Amount: £83,600 04/10/2022

This Final Notice refers to breaches of APER 7 related to the failure to ensure compliance with PRIN 3 in the trading firms sector, which led to further breaches of SUP 17, SUP 15 and Article 16 of MAR.



Stephen Tomlin

Amount: £69,600 04/10/2022

This Final Notice refers to breaches of APER 7 and APER 6 related to the failure to ensure compliance oversight and compliance with PRIN 3 in the trading firms sector, which led to further breaches of SUP 17, SUP 15 and Article 16 of MAR.



Simon Tyson

Amount: £67,900 04/10/2022

This Final Notice refers to breaches of APER 7 related to the failure to ensure compliance with PRIN 3 in the trading firms sector, which led to further breaches of SUP 17, SUP 15 and Article 16 of MAR.



Citigroup Global Markets Ltd

Amount: £12,553,800 19/08/2022

This Final Notice refers to breaches of Principle 2 of the FCA's Principles for Businesses and Article 16(2) of the Market Abuse Regulation related to market protection and wholesale conduct in the Investment Banking and Trading Firm sector.





Sir Christopher Gent

Amount: £80,000 05/08/2022

The Financial Conduct Authority has fined Sir **Christopher Gent, former non-executive Chairman** of ConvaTec Group Plc, for unlawfully disclosing inside information.



The TJM Partnership

Amount: £2,038,700 15/07/2022

This Final Notice refers to breaches of PRIN 2 and PRIN 3 related to the risk of financial crime in the trading firms sector. (Formerly known as Neovision Global Capital Limited - In Liquidation)



Ghana International Bank Plc

Amount: £5,829,900 23/06/2022

This Decision Notice refers to breaches of the Money Laundering Regulations 2007 related to financial crime in the Corporate Banks sector.





JLT Specialty Limited

Amount: £7,881,700 16/06/2022

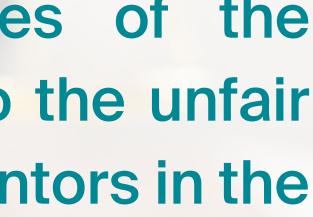
This Final Notice refers to breaches of PRIN 3 related to anti-bribery and corruption and financial crime in the general insurance and protection sector.



TFS Loans Limited (in administration)

Amount: £811,900 09/06/2022

This Final Notice refers to breaches of the Principle 6 and 3 and CONC related to the unfair treatment of customers acting as guarantors in the consumer credit sector.





Andrew Mark Thomas Page

Amount: £361,071 16/05/2022

This Final Notice refers to breaches of APER 1 and FIT related to a lack of fitness/propriety, misselling and failing to be open and co-operative in the investment adviser and pensions sector.





Aiden Henderson

Amount: £199,939 16/05/2022

This Final Notice refers to breaches of APER 1 and FIT related to a lack of fitness/propriety and misselling in the investment adviser and pensions sector.

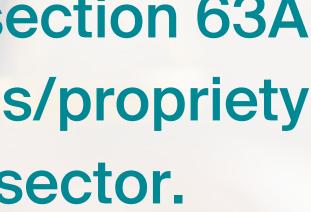




Thomas Henry Ward

Amount: £482,718 16/05/2022

This Final Notice refers to breaches of section 63A FSMA and FIT related to a lack of fitness/propriety in the investment adviser and pensions sector.





Robert Ward

Amount: £88,100 16/05/2022

This Final Notice refers to breaches of APER 1 and FIT related to a lack of fitness/propriety, misselling and failing to be open and co-operative in the investment adviser and pensions sector.



William Mark Tristan Freer

Amount: £42,898 16/05/2022

This Final Notice refers to breaches of APER 1 and FIT related to a lack of fitness/propriety, misselling and failing to be open and co-operative in the investment adviser and pensions sector.

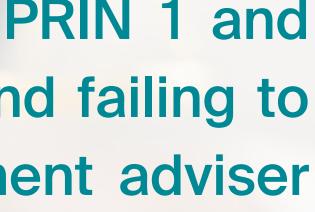




Bank House Investment Management Limited (in liquidation)

Amount: £311,639 16/05/2022

This Final Notice refers to breaches of PRIN 1 and section 20 FSMA related to mis-selling and failing to be open and co-operative in the investment adviser and pensions sector.





Timothy Haywood

Amount: £230,037 29/03/2022

The Final Notice refers to breaches of APER 2 and 7 related to the management of conflicts of interest in the asset management sector.



GAM International

Amount: £9,103,523 29/03/2022

The Final Notice refers to breaches of PRIN 2 and 8 related to the management of conflicts of interest in the asset management sector.



Barclays Bank plc

Amount: £783,800 28/02/2022

This Final Notice refers to breaches of PRIN 2 related to financial crime in the corporate banking sector.



Julius Baer International Limited

Amount: £18,022,500 10/02/2022

This Final Notice refers to breaches of PRIN 1, PRIN 3 and PRIN 11 related to failing to act with integrity, governance and failing to be open and co-operative in the in the Wealth Management and Private Banking sector.

