# 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

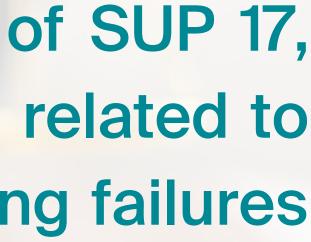
### This Decision Notice refers to breaches of the Money Laundering Regulations 2007 related to financial crime in the Retail bank sector.



### **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

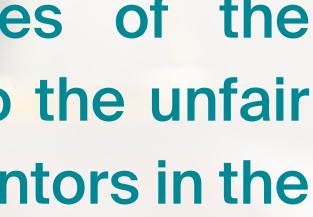
This Final Notice refers to breaches of PRIN 3 related to anti-bribery and corruption and financial crime in the general insurance and protection sector.



### **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.

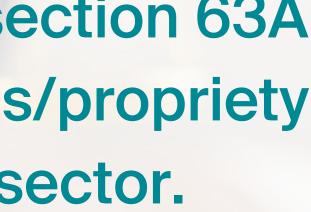




### **Thomas Henry Ward**

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.

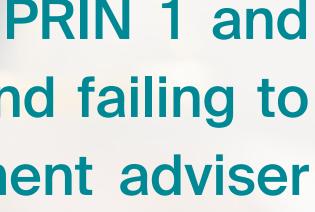




# **Bank House Investment** Management Limited (in liquidation)

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.

