

Date	Company or person	Summary
19-Nov-14	Royal Bank of Scotland Plc, National Westminster Bank Plc, Ulster Bank Ltd (Nov 2014)	The Authority imposes a financial penalty of £42,000,000 for breaches of PRIN 3. IT failings.
19-Aug-10	Zurich Insurance Plc, UK branch	Fined £2.75m for breach of Principle 3 and SYSC rules in relation to data security of customers information in the context of outsourcing arrangements.
17-Jul-09	HSBC Life (UK) Limited	Fined £1.61m for breach of Principle 3 in relation to system and controls failures in respect of customer data security.
17-Jul-09	HSBC Insurance Brokers Limited	Fined £700,000 for breach of Principle 3 in relation to system and controls failures in respect of customer data security.
17-Jul-09	HSBC Actuaries and Consultants Limited	Fined £875,000 for breach of Principle 3 in relation to system and controls failures in respect of customer data security.

Amount	Final Notice
£42,000,000	<a href="http://www.fca.org.uk/your-fca/documents/final-notice/2014/rbs-natwest-ulster">http://www.fca.org.uk/your-fca/documents/final-notice/2014/rbs-natwest-ulster</a>
£2,275,000	<a href="http://www.fsa.gov.uk/pubs/final/zurich_plc.pdf">http://www.fsa.gov.uk/pubs/final/zurich_plc.pdf</a>
£1,610,000	<a href="http://www.fsa.gov.uk/pubs/final/hsbc_inuk0907.pdf">http://www.fsa.gov.uk/pubs/final/hsbc_inuk0907.pdf</a>
£700,000	<a href="http://www.fsa.gov.uk/pubs/final/hsbc_ins0709.pdf">http://www.fsa.gov.uk/pubs/final/hsbc_ins0709.pdf</a>
£875,000	<a href="http://www.fsa.gov.uk/pubs/final/hsbc_actuaris0709.pdf">http://www.fsa.gov.uk/pubs/final/hsbc_actuaris0709.pdf</a>