

FINAL NOTICE – SUMMARY OF CONTENTS

Date of issue: 6 September 2002

Robin Thomas Whitmore

The FSA has refused an application for the approval of Mr Whitmore to perform the investment adviser (trainee) function with a firm of independent financial advisers as it was not satisfied that he was a fit and proper person to perform that function at the firm concerned.

On 11 December 2001 Mr Whitmore completed and signed an FSA application form in which he confirmed that the information provided was accurate and complete to the best of his knowledge and belief.

On that form Mr Whitmore stated that the reason for leaving his previous employment had been redundancy and that he had not been dismissed from any employment.

Mr Whitmore had, following a series of disciplinary meetings, warning notices and appeal hearings, been dismissed from his previous employment and had received clear notification of this in a letter from his employers in November 2001.

Mr Whitmore acknowledged that he had completed the form incorrectly and stated that he was suffering from stress at the time he did so and had not applied enough thought to the questions. The FSA did not accept that this could justify the giving of misleading answers to highly relevant and important questions.

The FSA considers that Mr Whitmore has not been candid and truthful in all his dealings with a regulatory body and has failed to demonstrate a readiness and willingness to comply with the requirements and standards of the regulatory system. It has therefore determined that it is not satisfied that Mr Whitmore is a fit and proper person to carry out the investment adviser (trainee) function at the applicant firm.