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(By email)

19 March 2014

Our Ref: FOI3347

Dear

Freedom of Information: Right to know request

We refer to your request under the Freedom of Information Act 2000 (the Act), for information relating to insider trading. Specifically, you asked for “. . . the number of insider trading prosecutions between the 1st of January 1996 and the present date, the date of each prosecution, and the penalty given for each conviction.”

Your request has now been considered and we can confirm that we hold some of the information you have requested. We do not hold any information prior to 2009.

FSA and FCA Insider Dealing Cases – Criminal Convictions		
Year	Individual	Sentence
2009	Christopher McQuoid	8 Months
2009	James Melbourne	8 Months (suspended)
2009	Matthew Uberoi	12 Months
2009	Neel Uberoi	24 Months
2010	Malcolm Calvert	21 Months
2010	Anjam Ahmad	10 Months (suspended), 300 hrs community service, fine of £50,000
2010	Neil Rollins	27 Months (reduced on appeal to 18 months)
2011	Helmy Omar Sa'aid	24 months
2011	Christian Littlewood	40 months
2011	Angie Littlewood	12 months (suspended)
2011	Rupinder Sidhu	24 months

2012	James Sanders	4 years
2012	Miranda Sanders	10 months
2012	James Swallow	10 months
2012	Ali Mustafa	3 years, 6 months
2012	Pardip Saini	3 years, 6 months
2012	Paresh Shah	3 years, 6 months
2012	Neten Shah	18 months
2012	Bijal Shah	2 years
2012	Truptesh Patel	2 years
2012	Thomas Ammann	2 years 8 months
2013	Richard Joseph	4 years
2013	Paul Milsom	2 years

Further information can be found on the FCA website at the following link:

<http://www.fca.org.uk/news/list?ttypes=Press+Release&year=&ssearch=insider+dealing>

You may also wish to view the information relating to Market Abuse outcomes that is published on our website at the following link:

<http://www.fca.org.uk/firms/markets/market-abuse/outcomes>

Yours sincerely

Information Access Team
Financial Conduct Authority