

Final Notices 2014/15



Name on Final Notice	Case Opening Date	Publication Date	Firm/ Individual	Outcome	Fine Amount (£)
Andrew Charles Rees	01/03/13	17/04/14	Individual	Prohibition, Public Censure, Withdraw Approval	0
Timothy Adrian Hughes	01/03/13	17/04/14	Individual	Prohibition, Public Censure, Withdraw Approval	0
Invesco Asset Management Limited, Invesco Fund Managers Limited	08/11/12	28/04/14	Firm	Fine	18,643,000
John Christopher Hughes	18/01/12	29/04/14	Individual	Prohibition	0
Unauthorised firm	01/11/13	08/05/14	Firm	Civil Action	0
Martin Brokers (UK) Limited (Martins)	14/11/12	15/05/14	Firm	Fine	630,000
Daniel James Plunkett	18/02/13	23/05/14	Individual	Fine, Prohibition	95,600
Barclays Bank PLC	18/02/13	23/05/14	Firm	Fine	26,033,500
Yorkshire Building Society	11/03/13	16/06/14	Firm	Fine	1,429,000
Credit Suisse International ("CSI")	21/11/12	16/06/14	Firm	Fine	2,398,100
Ian Charles Hannam	04/12/09	22/07/14	Individual	Fine	450,000
Investments Limited	12/09/13	23/07/14	Firm	Suspension, Public Censure	0
Financial Limited	08/11/12	23/07/14	Firm	Suspension, Public Censure	0
Lloyds Bank PLC and Bank of Scotland PLC	19/04/12	28/07/14	Firm	Fine	105,000,000
Stonebridge International Insurance Limited	20/05/13	07/08/14	Firm	Fine	8,373,600
Abdul Razzaq	09/02/09	14/08/14	Individual	Prohibition	0
Abdul Razzaq, trading as R S A Mortgage Services	09/02/09	14/08/14	Firm	Cancel Permission	0
The Royal Bank Of Scotland PLC and The National Westminster Bank PLC	17/05/13	27/08/14	Firm	Fine	14,474,600
Deutsche Bank AG ("Deutsche")	07/08/13	28/08/14	Firm	Fine	4,718,800
Craig Stuart Cameron	29/03/12	29/08/14	Individual	Fine, Prohibition	350,000
Individuals purporting to be an authorised firm	09/09/14	11/09/14	Individual	Civil Action	0
'Cloned firm' of an authorised firm	09/09/14	11/09/14	Firm	Civil Action	0
Peter Thomas Carron	24/11/11	16/09/14	Individual	Fine, Prohibition	300,000
Barclays Bank PLC	19/01/12	23/09/14	Firm	Fine	37,745,000
Pritchard Stockbrokers Limited (In Special Administration)	06/07/12	09/10/14	Firm	Public Censure	0
David Welsby	06/07/12	09/10/14	Individual	Fine, Prohibition, Withdraw Approval	14,000
David Gillespie	06/07/12	09/10/14	Individual	Fine, Prohibition, Withdraw Approval	10,500
Yorkshire Building Society	03/10/13	28/10/14	Firm	Fine	4,135,600
Sesame Limited	12/09/13	29/10/14	Firm	Fine	1,598,000
Peter Halpin	05/12/13	05/11/14	Individual	Fine, Prohibition	412,700

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Nicholas Bowyer	05/12/13	05/11/14	Individual	Fine, Prohibition	306,700
Anthony Peter Clare	05/12/13	05/11/14	Individual	Fine, Prohibition	208,600
JPMorgan Chase Bank N.A.	14/10/13	12/11/14	Firm	Fine	222,166,000
Citibank N.A.	14/10/13	12/11/14	Firm	Fine	225,575,000
HSBC Bank PLC	14/10/13	12/11/14	Firm	Fine	216,363,000
The Royal Bank Of Scotland PLC and The National Westminster Bank PLC	14/10/13	12/11/14	Firm	Fine	217,000,000
UBS AG	14/10/13	12/11/14	Firm	Fine	233,814,000
Chase de Vere Independent Financial Advisers Limited (formerly AWD Chase de Vere Limited) ("CdV")	25/06/12	17/11/14	Firm	Fine	560,000
Royal Bank of Scotland PLC, National Westminster Bank PLC and Ulster Bank Limited	28/03/13	20/11/14	Firm	Fine	42,000,000
Jonathan Paul Burrows	13/06/14	15/12/14	Individual	Prohibition	0
Execution Noble & Company Limited	29/04/14	06/01/15	Firm	Fine	231,000
Reckitt Benckiser Group PLC	11/11/13	20/01/15	Firm	Fine	539,800
Jeremy Kraft	20/05/14	22/01/15	Individual	Fine, Prohibition	105,000
David Caplin	20/05/14	22/01/15	Individual	Fine, Prohibition	210,000
Alex Hope	28/03/12	30/01/15	Individual	Conviction	0
Raj Von Badlo	28/03/12	30/01/15	Individual	Conviction	0
Aviva Investors Global Services Limited	22/04/14	24/02/15	Firm	Fine	17,607,000
Paul Coyle	10/09/13	03/03/15	Individual	Conviction	0
Bank of Beirut (UK) Limited	19/06/13	05/03/15	Firm	Fine, Suspension	2,100,000
Michael John Allin	01/04/14	05/03/15	Individual	Fine	9,900
Anthony Rendell Boyd Wills	01/04/14	05/03/15	Individual	Fine	19,600
Phillip Boakes	17/04/13	06/03/15	Individual	Conviction	0
Sam Thomas Kenny	07/01/10	13/03/15	Individual	Fine, Prohibition, Withdraw Approval	450,000
Stephen Edwards Bell	12/09/13	13/03/15	Individual	Fine, Prohibition	33,800
Paul Robson	15/06/12	17/03/15	Individual	Prohibition	0
Alberto Micalizzi	04/08/10	19/03/15	Individual	Fine, Prohibition	2,700,000
Julian Rifat	01/12/13	19/03/15	Individual	Conviction	0
Peter Charles Legerton	06/06/14	20/03/15	Individual	Prohibition, Public Censure, Withdraw Approval	0
Lloyd Arnold Pope	06/06/14	20/03/15	Individual	Fine, Prohibition	93,800
Capital Alternatives Limited	27/07/10	25/03/15	Firm	Civil Action	0
Ryan Willmott	31/01/14	27/03/15	Individual	Conviction	0
Kenneth George Carver	31/01/14	30/03/15	Individual	Fine	35,212
Robert Stephan Addison	31/03/09	31/03/15	Individual	Fine, Prohibition, Withdraw Approval	200,000
Robin Farrell	31/03/09	31/03/15	Individual	Fine, Prohibition, Withdraw Approval	650,000
Arch Financial Products LLP	31/03/09	31/03/15	Firm	Public Censure	0