

Disputes & Enforcements

Five charged by the FCA in alleged investment fraud

The FCA has announced that following an [investigation](#), five individuals have appeared before Southwark Crown Court charged with conspiracy to defraud, together with offences under the Financial Services and Markets Act 2000 and the Fraud Act 2006.

FCA, 16 June 2016

FCA final notice - breaches of PRIN 4, COND and INPRU-INV

The FCA have published a final [notice](#) referring to breaches of PRIN 4, COND and INPRU-INV in relation to threshold conditions in the investment adviser sector. The FCA imposed a cancellation.

FCA, 15 June 2016

FCA final notice – breaches of FIT

The FCA have published a final [notice](#) referring to breaches of FIT relating to a lack of fitness/propriety against an individual in the investment adviser sector. The FCA imposed a prohibition.

FCA, 9 June 2016

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