

Financial Crime: Market Abuse and Money Laundering

“5MLD – the line-by-line analysis”, Compliance Monitor, 6 March 2020

“The Upper Tribunal does market abuse surveillance within the framework of a Focused Resolution Agreement in Linear Investments: “, Compliance Resource Network, 17 April 2019

“Revised guidance for the financial crime frontline”, Compliance Monitor, 5 July 2018

“The FCA’s fine and restrictions on WH Ireland Limited for market abuse risks”, Compliance Resource Network, 26 February 2016

“The Barclays £72 million fine for breaking its own anti-money laundering controls in search of the £1.88 billion transaction”, Compliance Resource Network, 9 December 2015

“The Whale saga thrashes on”, Compliance Monitor, 6 May 2015

“The Upper Tribunal tells the FCA to think again about a market abuse prohibition in the Carrimjee case”, Compliance Resource Network, 13 March 2015

“The FCA’s market-shaking communications bungle”, Compliance Monitor, 22 January 2015

“Of hedge funds, integrity and the strange tale of Dr Micalizzi and the bond that never was”, Compliance Resource Network, 27 August 2014

“Ian Hannam, market abuse and the Upper Tribunal”, Compliance Resource Network, 17 June 2014

“FG 14/1 on inducements - the analysis”, Compliance Resource Network, 24 January 2014

“TR 13/9 Anti-money laundering and bribery systems and controls – description and analysis, Compliance Resource Network, 14 November 2013

“Chaligné, Sejean and Diallo - the Upper Tribunal does market abuse and the penalties for it”, Compliance Resource Network, 8 October 2012

“Sachin Karpe and Laila Karan – the Tribunal backs the FSA’s fines and bans from the UBS unauthorised trading saga”, Compliance Resource Network, 23 May 2012

“The Tribunal tackles market abuse”, Compliance Monitor, September 2011

“The FSA criticised by the Upper Tribunal for over-punishing LME market abuser”, Compliance Resource Network, 7 September 2011

“The Swift Trade Decision Notice and market abuse by layering”, Compliance Resource Network, 5 September 2011

“The Tribunal tackles market abuse”, Compliance Monitor, September 2011

- “The Upper Tribunal’s decision on Visser and Fagbulu”, Compliance Resource Network, 26 August 2011
- “The tribunal's decision on Massey and insider trading”, Complinet, 8 February 2011
- “SRLV fines and prohibition orders — beware of money laundering and integrity issues involved in helping boiler rooms”, Complinet, 17 December 2010
- “The Court of Appeal makes damages for fraud infinitely more expensive”, Complinet, 27 May 2010
- “Simon Eagle's £2.8m market abuse fine and prohibition order completes the Winterflood FEI story”, Complinet, 24 May 2010
- “The Alpari Money Laundering Final Notices”, Wolters Kluwer, May 7, 2010
- “Winterflood, the Court of Appeal, market abuse and share ramping”, Complinet, 27 April 2010
- “The Shevlin final notice and market abuse”, Complinet, 2 July 2008
- “Reverberations from the Jabre decision”, Complinet, 1 August 2006
- “Jabre loses 'round one' with the tribunal”, Complinet, 28 July 2006
- “The tribunal, market abuse and handling evidence”, Complinet 6 February 2006
- “Money Laundering and the Bowman v. Fels case - lawyers slide off the hook”, Compliance Online, 21 March 2005
- “Indigo Capital: 'Market abuse' is not confined to regulated companies”, Compliance Online, 29 December 2004
- “More Evolution in the development of market abuse”, Compliance Online, 29 December 2004
- “The Evolving Nature of Market Abuse: the FSA's final notice to EBG and Christopher Potts”, Compliance Online, 16 November 2004
- “Bank of Ireland's Money Laundering Fine - Drafty business”, Compliance Online, 10 September 2004