



DISCIPLINARY ORDERS AND REGULATORY DECISIONS

Date published: 7 September 2016

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INVESTIGATION COMMITTEE CONSENT ORDERS

1 Mr Kenneth Bradshaw FCA

Consent Order made on 20 July 2016

With the agreement of Mr Kenneth Morton Bradshaw of 44 Pashley Road, Eastbourne, BN20 8EA, the Investigation Committee made an order that he be reprimanded, fined £1,000 and pay costs of £2,605 with respect to a complaint that:

Between 30 October 2007 and 29 February 2016 Mr Kenneth Bradshaw FCA wrongly undertook probate activities (a reserved legal activity) when he was not an authorised person to carry out probate activities as required by s13 of the Legal Services Act 2007

027975

2 Mr Jacob Wolf FCA

Consent Order made on 20 July 2016

With the agreement of Mr Jacob Wolf of 8 Waterpark Road, Salford, M7 4EU, the Investigation Committee made an order that he be severely reprimanded, fined £8,000 and pay costs of £2,155:

Mr Jacob Wolf FCA incorrectly completed his annual independence declarations submitted to his firm for the years 2006 – 2014 inclusive as he did not disclose his trusteeship of X which caused other partners of Y LLP to accept appointment as Independent Examiner of the Trust when they weren't entitled to do so.

029272

3 Carter Backer Winter LLP

With the agreement of Carter Backer Winter LLP of 66 Prescott Street, London, E1 8NN, the Investigation Committee made an order that the firm be reprimanded, fined £2,500 and pay costs of £1,868 with respect to a complaint that:

1. Between 14 July 2011 and 29 October 2012 and between 9 April 2013 and 28 October 2015 Carter Backer Winter LLP used the description Chartered Accountants when it was not entitled to do so, in breach of regulation 6 of the Use of Description Chartered Accountants Regulations.
2. Carter Backer Winter LLP failed to comply with Audit Regulation 2.03a in that they failed to ensure the following principals held audit affiliate status during the following periods:
 - a) Mr 'A' between 1 September 2013 and 28 October 2015;
 - b) Mr 'B' between 10 April 2012 and 27 August 2012;
 - c) Mr 'C' between 14 July 2011 and 4 November 2015; and
 - d) Mr 'D' between 6 May 2014 and 25 August 2014.
3. Carter Backer Winter LLP failed to comply with regulation 2.03b of the Designated Professional Body (DPB) Handbook in that they failed to ensure the following principals held DPB affiliate status during the following periods:
 - a) Mr 'A' between 1 September 2013 and 28 October 2015;
 - b) Mr 'B' between 10 April 2012 and 27 August 2012;
 - c) Mr 'C' between 14 July 2011 and 4 November 2015; and
 - d) Mr 'D' between 6 May 2014 and 25 August 2014.

031379

REGULATORY DECISIONS

AUDIT REGISTRATION COMMITTEE

ORDER – 17 JULY 2016

4 Publicity statement

J.H. Greenwood & Company, Ava Lodge, Castle Terrace, Berwick-upon-Tweed, TD15 1NP, has agreed to pay a regulatory penalty of £323, which was decided by the Audit Registration Committee. This was in view of the firm's admitted breach of audit regulations 2.11c and 6.06 in that the firm:

- failed to notify ICAEW of the resignation of a partner;
- failed to re-apply for audit registration following a change of legal entity; and
- for the incorrect statements on the firm's 2015 annual return.

033330

INVESTMENT BUSINESS COMMITTEE

ORDER – 19 JULY 2016

5 Publicity statement

'Thaker & Co of 31 Southwood Gardens, Gants Hill, Ilford, Essex, IG2 6YF, has agreed to pay a regulatory charge (determined by the Investment Business Committee) of £575 for failing to comply with its assurance that it will conduct and document annual compliance reviews in accordance with DPB Regulation 4.04.'

034482

ORDER – 16 AUGUST 2016

6 Publicity statement

Baines Jewitt LLP of Barrington House, 41-45 Yarm Lane, Stockton on Tees TS18 3EA, has agreed to pay a regulatory charge of £3,330, which was decided by the Investment Business Committee, in view of the firm's admitted breach of DPB Regulation 3.09 for providing professional services to a connected firm which were not complementary to other services provided by the firm.

034266

ORDER – 16 AUGUST 2016

7 Publicity statement

BTG Corporate Finance LLP of 340 Deansgate, Manchester M3 4LY, has agreed to pay a regulatory charge of £9,080, which was decided by the Investment Business Committee, in view of the firm's admitted breach of DPB Regulations 2.07(d) and 2.03 (b) for failing to notify ICAEW of the appointment of two corporate principals and apply for DPB affiliate status for these entities.

033192