

UK Bribery Digest

Edition 14
September 2020



Building a better
working world

UK BRIBERY DIGEST | EDITION 14

CONTENTS



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Regulatory and enforcement landscape: Guidance released for an effective compliance programme

Over the last 18 months we have seen a significant volume of updated compliance guidance being issued by regulators and enforcement agencies.

As part of their Operational Handbook, the Serious Fraud Office (SFO) released the 'Corporate Co-operation Guidance' in August 2019, and in January 2020, released an updated chapter on the 'Evaluating a Compliance Programme'.

With little to no warning, in June 2020 the United States Department of Justice (DoJ) also released updated guidance on the 'Evaluation of Corporate Compliance Programs'. This was followed with an updated Foreign and Corrupt Policies Act (FCPA) Resource Guide in July 2020, replacing the version released eight years earlier. The FCPA Resource Guide includes a range of clarifications on the anti-bribery provisions of the FCPA, whilst the DoJ guidance provides more practical considerations that corporate compliance teams should be asking themselves.

In addition, whilst not a regulator or enforcement agency, the Institute for Internal Auditors released a revised version of the popular 'Three Lines of Defence' model in July 2020, reissuing it as the 'Three Lines Model'. The new guidance transfers the focus from 'defence' of the original model to

encourage more effective collaboration between key players within an organisation.

Whilst these releases are from regulators and enforcement agencies in different jurisdictions, due to the increasingly global reach of white-collar crime legislation and the increased cross border cooperation between enforcement agencies, a multinational corporation would be naïve to focus on a single framework. Instead, most global businesses set a standard which at least meets the requirements of all the leading legislation and guidance. By way of example of the increasingly global nature of guidance, the latest FCPA Resource Guide specifically includes a new section dealing with 'Other Guidance on Compliance and International Best Practices', citing:

- ▶ **Organisation for Economic Co-operation and Development (OECD)** – Anti-Bribery recommendation and its Annex II, Good practice guidance on internal controls, ethics, and compliance
- ▶ **Asia-Pacific Economic Cooperation (APEC)** – Anti-corruption Code of Conduct for Business
- ▶ **International Chamber of Commerce** – ICC Rules on combating corruption



- ▶ **Transparency International** – Business principles for countering bribery
- ▶ **United Nations Global Compact** – The ten principles
- ▶ **World Bank** – Integrity compliance guidelines
- ▶ **World Economic Forum** – Partnering against corruption – Principles for countering bribery

EVALUATING YOUR COMPLIANCE PROGRAMME

EFFECTIVE CO-OPERATION

The development of Deferred Prosecution Agreements

During 2020, the Serious Fraud Office (SFO) announced the seventh deferred prosecution agreement (DPA). Not only was this DPA remarkable due to the size of the financial settlement, but it was also the momentum that the SFO has built, with three of the seven DPAs so far being agreed and finalised within the last 18 months.

With DPAs first introduced in 2014, we have sought to show how DPA's have developed over the last six years.

What are DPAs and how do they work?

DPAs were introduced on 24 February 2014, under the provisions of Schedule 17 of the Crime and Courts Act 2013. They are available to the Crown Prosecution Service (CPS) and the SFO.

According to the SFO's website, a DPA is an agreement reached between a prosecutor and an organisation which could be prosecuted under the supervision of a judge. The agreement allows a prosecution to be suspended for a defined period provided the organisation meets certain specified conditions.

The key features of DPAs are:

- ▶ They enable a corporate body to make full reparation for criminal behaviour without the collateral damage of a conviction (for example, sanctions or reputational damage that could put the company out of business and destroy the jobs and investments of innocent people).
- ▶ They are concluded under the supervision of a judge, who must be convinced that the DPA is "*in the interests of justice*" and that the terms are "*fair, reasonable and proportionate*".



- ▶ They avoid lengthy and costly trials.
- ▶ They are transparent public events.

Under a DPA, a prosecutor charges a company with a criminal offence, but proceedings are automatically suspended if the DPA is approved by the judge. A DPA applies only to organisations, never to individuals.

Several pieces of guidance have been published which are relevant for DPAs:

- ▶ The Director of Public Prosecutions and the Director of the SFO published a Code of Practice describing how they will use DPAs.
- ▶ The Sentencing Council published a sentencing guideline for corporate offences which can help inform prosecutors when they are making DPAs.
- ▶ The Criminal Procedure Rules Committee has published rules in respect of the application and approval process for DPAs with an explanatory note.

The development of Deferred Prosecution Agreements continued

The DPAs issued to date

- | | | |
|---|---|---|
| ▶ ICBC Standard Bank Plc (Standard Bank) – 2015 | ▶ Tesco Stores Ltd (Tesco) – 2017 | ▶ Airbus SE (Airbus) – 2020 |
| ▶ Sarclad Ltd (Sarclad) – 2016 | ▶ Serco Geografix Ltd – 2019 | ▶ G4S Care & Justice Services (UK) Ltd – 2020 |
| ▶ Rolls-Royce Holdings Plc (Rolls-Royce) – 2017 | ▶ Güralp Systems Ltd – 2019 | |

The SFO reports the following payments being received for the first six DPAs (excluding the Airbus DPA):

Financial information on the SFO's Deferred Prosecution Agreements

	Financial penalties payable to Consolidated Fund* £000	Compensation £000	Costs**** £000	Total payable £000
2019-20	21,270**	(Compensation was paid as part of a civil settlement)	3,724**	24,994**
2018-19	–	–	–	–
2017-18	129,000**	–	–	129,000**
2016-17	503,806	–	12,961	516,767
2015-16	16,782***	4,692****^	330	21,804

Source: [SFO website](#)

* This includes fines and, where applicable, disgorgement of profit.

** A rounded figure has been provided.

*** These figures represent the value in GBP at the exchange rate current when the agreement, which was denominated in US dollars, was made.

**** Refers to the cost incurred by the SFO during the course of their investigation and entering into the agreement, as reimbursed by the Respondents.

^ Includes interest.

Of the eight current DPAs, five included charges related to corruption and bribery:

- ▶ Standard Bank was charged with failure to prevent bribery contrary to Section 7 of the Bribery Act 2010.
- ▶ Sarclad was charged with conspiracy to corrupt, contrary to Section 1 of the Criminal Law Act 1977; conspiracy to bribe, contrary to Section 1 of the same act, and failure to prevent bribery, contrary to Section 7 of the Bribery Act 2010.
- ▶ Rolls-Royce was charged with 12 separate counts, seven of which related to pre-Bribery Act offences or false accounting, and five counts for breaches of Section 7 of the Bribery Act 2010.
- ▶ GSL was charged with conspiracy to make corrupt payments, contrary to Section 1 Criminal Law Act 1971; and failure to prevent bribery by employees, contrary to Section 7 Bribery Act 2010.
- ▶ Airbus was charged with five separate counts of failure to prevent bribery under Section 7 of the Bribery Act 2010.

The development of Deferred Prosecution Agreements continued

In the following sections, we highlight similarities and contrasts between the arrangements in the five DPAs:

EXTRA-TERRITORIAL REACH

SELF-REPORTING

FINANCIAL SETTLEMENTS

CO-OPERATION

REMEDATION

MONITORSHIP OF COMPLIANCE FUNCTIONS

SIMILARITIES BETWEEN THE ROLLS-ROYCE AND AIRBUS CASES

Cases against individuals following DPAs

One of the key features of DPAs is that they apply only to organisations. The SFO launched proceedings against those associated with criminal behaviour in the DPAs. However, to date, it has not successfully prosecuted any individual. These cases included senior executives of Sarclad, three former Tesco executives, and former executives of Rolls-Royce.

The lack of prosecution of individuals, despite a DPA being in place, exposes a flaw in the DPA regime. The cases have led to a number of commentators questioning the interplay between a DPA and the risk of individual prosecutions, for instance whether a DPA might be agreed to in haste when those accused of the criminal behaviour might subsequently be acquitted.

Over the last six years, it appears that the SFO has gained strong momentum with the DPA regulations and the cases we have seen have shone a light on the expectations of the SFO and the considerable actions that businesses have to take to earn the SFO's invitation to discuss a DPA.



The world's largest bribery settlement finalised in January 2020

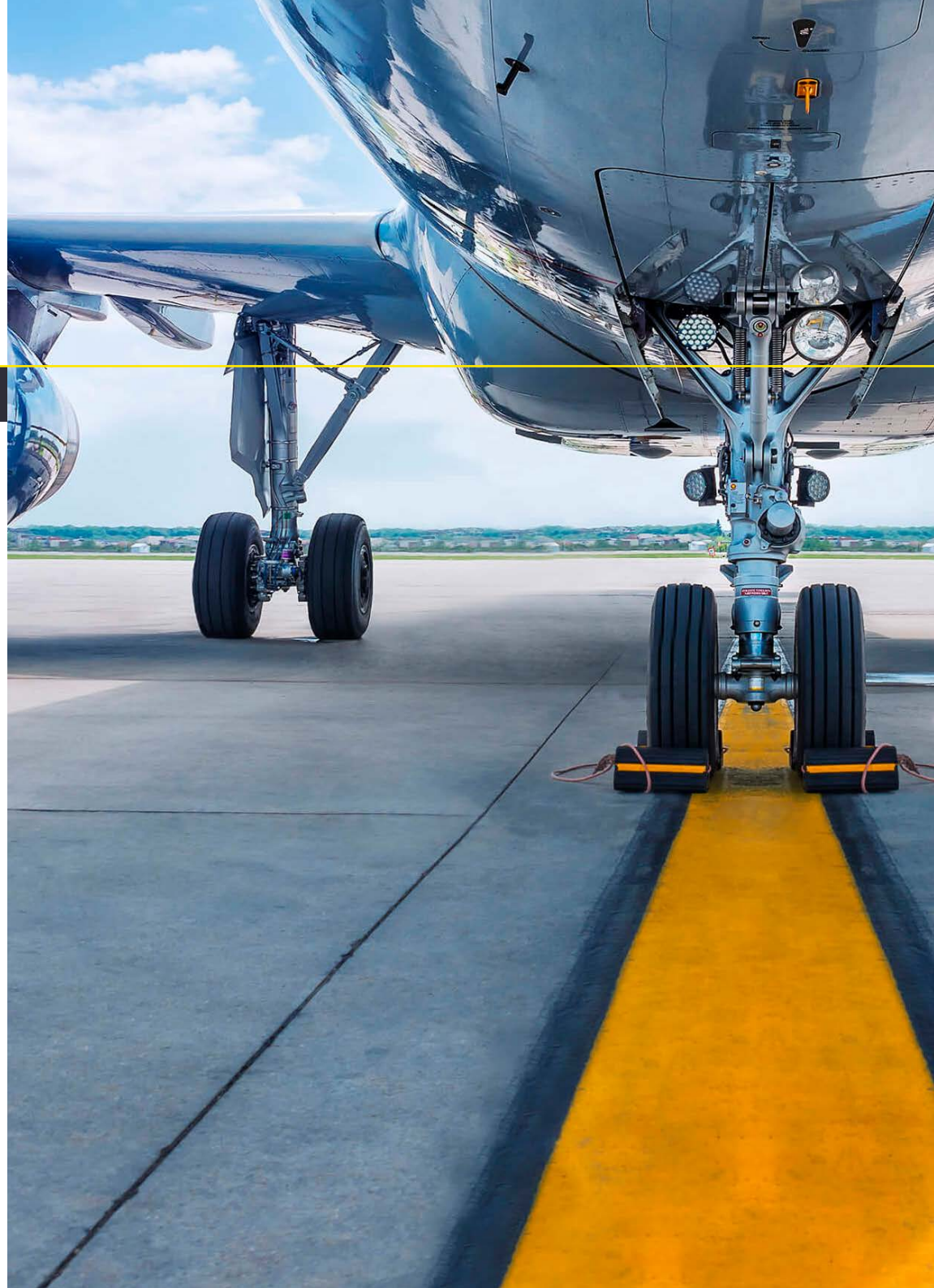
Case 98: Airbus

On 31 January 2020, the Serious Fraud Office (SFO) announced a landmark deferred prosecution agreement (DPA) with Airbus as part of a global settlement with prosecution authorities. Airbus marks the seventh DPA agreed by the SFO since they were first introduced in 2014.

The size of the financial settlement was remarkable, totalling €983.97m (£831.07m), part of a larger €3.59b (£3.03b) global settlement. The judge stated that the settlement *“reflected the gravity of the conduct, the full co-operation of Airbus SE in the investigation, and the programme of corporate reform and compliance put in place by new leadership at the top of the company”*.

The size and scale of the DPA

- ▶ The UK DPA covers corrupt conduct that took place between 2011 and 2015 in five jurisdictions by two of the company's divisions.
- ▶ The UK element of €983.97m (£831.07m) is the highest ever settlement in relation to enforcement action taken by the SFO against a company in the UK for criminal conduct. The financial settlement is significantly greater than the £497.25m settlement between the SFO and Rolls-Royce in January 2017. It represents part of the largest ever settlement of €3.59b (£3.03b) also agreed with the Parquet National Financier (PNF) and the United States Department of Justice (DoJ) to resolve allegations of bribery.
- ▶ After what was described by the judge as *“a slow start”*, Airbus had co-operated *“to the fullest extent possible”*. The court noted that the company had taken an unprecedented step in reporting conduct that had largely taken place overseas to the UK authorities, thereby recognising the extra-territorial reach of the Bribery Act 2010.



Multiple enforcement agencies

The concurrent completion of parallel cross-border co-ordinated enforcement actions in respect of related bribery schemes.

Similarly to Rolls-Royce, the Airbus settlements with other international enforcement agencies were announced on the same day. Airbus also settled financial sanctions with the PNF amounting to €2.08b (£1.76b) and the DoJ totalling €526m (£444m). This provides further strong evidence of cross-border collaboration between enforcement agencies.

- ▶ The SFO's investigation into Airbus commenced on 15 July 2016 and related to bribery offences in Malaysia, Sri Lanka, Taiwan, Indonesia and Ghana. The investigation was conducted by a Joint Investigation Team (JIT) between the PNF and SFO. The PNF's investigation regarded offences in China, Colombia, Nepal, South Korea, the United Arab Emirates, Saudi Arabia (Arabsat), Taiwan and Russia. Simultaneously, Airbus was investigated by the DoJ and the US Department of State for offences in China for violations of the US International Traffic in Arms Regulations (ITAR) concerning a number of jurisdictions. It is interesting to note that different authorities split the focus of their investigations on different jurisdictions.

The origin of the investigation

After what was described by the judge as a "slow start", Airbus made a self-report to the SFO and other relevant authorities on 1 April 2016.

The SFO made it apparent that the "true catalyst for this [report] was the watchfulness of UKEF". The matter was only brought to the attention of the SFO after Airbus had been notified that UK Export Finance (UKEF) felt it appropriate to contact the SFO and had a strong preference that Airbus also make a report.

- ▶ As part of its business, Airbus obtained export credit financing from Export Credit Agencies (ECA), including UKEF, a government body. In April 2015, UKEF wrote to Airbus regarding UKEF's anti-bribery due diligence procedures in respect of agents and specifically referencing UKEF's obligation to report all suspicious circumstances to the SFO.
- ▶ In late 2015 Airbus conducted a review of the accuracy and completeness of its declarations relating to the use of business partners (BPs) in applications for export credit financing and provided a detailed report, including red flags for corruption, to UKEF in March 2016. This prompted UKEF to communicate that it felt it appropriate to report its findings to the SFO and that it preferred if Airbus do the same.

Insight into risk and compliance issues

The judgment called the seriousness of Airbus' criminality "grave" and noted that the conduct led to investigations "extending into every continent in which Airbus operates".

Airbus had governance which was designed to address the risks associated with the use of third parties through:

- ▶ Extensive bribery prevention policies and procedures
- ▶ Independent certification of its compliance programme in 2012 and
- ▶ Committees responsible for reviewing and overseeing the use of BPs

Despite the governance structures, the company failed to address "a corporate culture which permitted bribery by Airbus business partners and/or employees to be committed throughout the world" where bribery was described as "endemic in two core business areas within Airbus". The company had "serious weaknesses within its compliance and oversight structure".

The DPA documents provide insight into the issues that are relevant to the failings of Airbus' bribery and corruption risk management and compliance systems which compliance professionals should heed.

These issues include:

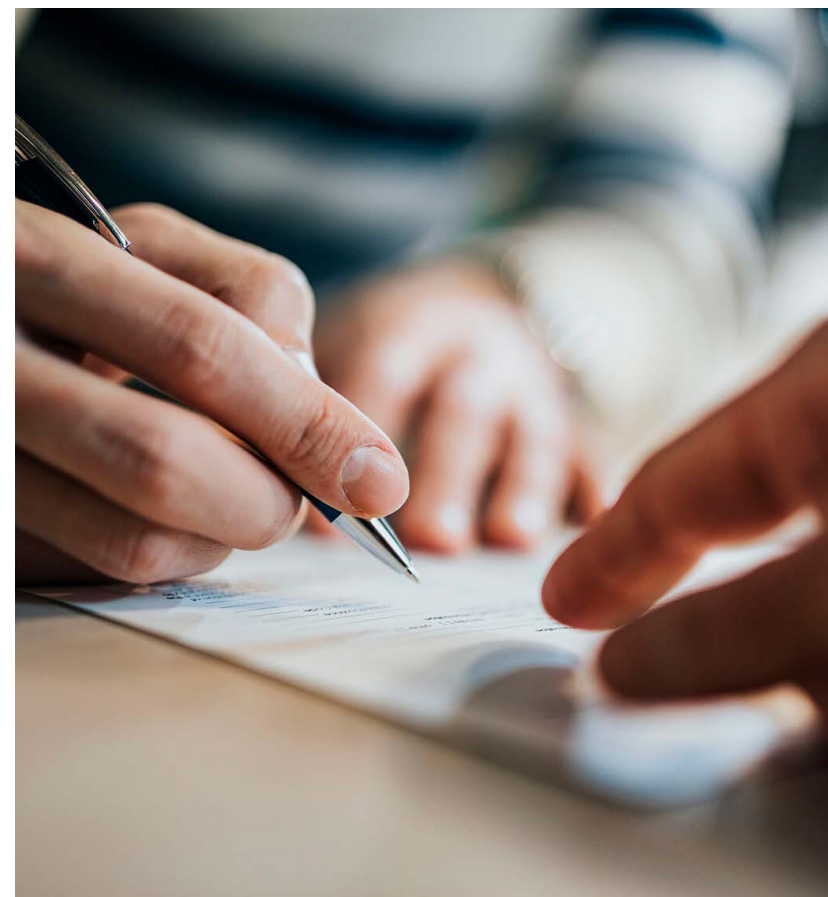
- ▶ Much of the conduct cited in the DPA was carried out by BPs tasked with increasing Airbus' international footprint and assisting it in winning sales contracts in numerous jurisdictions.
- ▶ Policies and procedures were not robust and were easily bypassed or breached.
- ▶ Those with compliance responsibilities, including committee members, were connected to the wrongdoing.
- ▶ Information provided to the committees was often misleading and inaccurate, resulting in these bodies being unable to provide effective or properly informed oversight in the manner intended.

The failings highlight the importance of culture in corporate anti-bribery and corruption frameworks. Without this foundation, the rest of the governance 'house' falls.

Insights into bribery schemes

The bribery schemes in which Airbus was involved predominantly feature intermediaries. We highlight some of the schemes below as they provide useful insights of how bribes may be concealed:

- ▶ Payments through companies acting as intermediaries that were linked to BPs who were closely related to the recipients of the inducements, set up through falsification or misrepresentation of compliance questions and applications. For example, a payment of US\$2m to a company set up by the wife of an airline executive who had decision-making power in the award of contracts.
- ▶ Payments made through an approved BP who agreed to act as a medium to channel payments to recipients.
- ▶ Payments made through intermediaries that were directed on to those with decision-making power over award of contracts.
- ▶ A rebate on the purchase price of aircraft.
- ▶ Payments for the sponsorship of a sports team which had no legal connection to the customer but was jointly owned by two AirAsia executives.
- ▶ Setting excess pricing or margins for agents so as to provide the agent with funds from which to pay bribes.
- ▶ False invoices for consultancy services not provided or of no substance.
- ▶ Commission payments above the terms agreed in consultancy agreements.



The world's largest bribery settlement finalised in January 2020 continued

The facts

The DPA relates to five separate counts of failure to prevent bribery under Section 7 of the Bribery Act, relating to the period from the Bribery Act becoming enforceable from 1 June 2015:

Roll over a button for further information





Co-operation

A core purpose of the creation of DPAs was to 'incentivise' the exposure and self-reporting of corporate wrongdoing. The DPA Code of Practice sets out that a *"genuinely proactive approach"* to co-operating with the SFO is a factor balancing in favour of a DPA.

The co-operation demonstrated by Rolls-Royce in the course of agreeing its DPA had set a new and high benchmark for co-operation with the SFO. The judge noted that *"even if the prosecuting authorities became aware of the relevant conduct by the actions of a third party, if subsequent self-reporting or co-operation overall, is of a high quality and brings significant wrongdoing to light that would not otherwise have come to the attention of the authorities, this will be a significant factor in favour of a DPA"*.

The judgment stated that Airbus made a *"slow start"* and that it was noted that *"Airbus could have moved more quickly"* when, it must have been apparent to others within Airbus since 2014 when the freeze on payments to third parties was initiated, that there were serious concerns internally as to the propriety of payments or the integrity of the oversight structures regarding third parties, specifically BPs. It instead credited the initiation of the self-report to UKEF who prompted Airbus to report itself in light of the report it was making to the SFO in regard to Airbus' behaviour.

However, the DPA documents describe the co-operation provided Airbus as *"exemplary"* and identified this as a factor in the decision to approve a DPA (rather than prosecute) and in assessing the

level of discount on the financial penalty. Notable features of this co-operation include:

- ▶ A reduction of the penalty by €398.03m.
- ▶ Airbus accepted that the Bribery Act had provided the SFO with extended extra-territorial powers and potential interest in the facts post 2011. This co-operation was noted to be *"an unprecedented step for a Dutch and French domiciled company to take, in respect of the reporting of conduct which had taken place almost exclusively overseas"*.
- ▶ The company identified red flags otherwise not known to authorities across divisions and across former BPs allowing the JIT to prioritise its selection for investigation.
- ▶ It waived legal professional privilege on a limited basis allowing the SFO to examine internal investigation documents (including interviews with Airbus employees and BPs).
- ▶ It provided in excess of 30.5 million documents from over 200 custodians which required the company and the investigating authorities to develop new and proportionate procedures for the identification and review of the documentation.
- ▶ It used technology-assisted review to prioritise and identify relevant material to expedite the investigation and detect previously unknown wrongdoing.
- ▶ The company revised the top management of Airbus and parted with a substantial number of individuals by dismissal, voluntarily or in compromised circumstances permitted by French law.

The world's largest bribery settlement finalised in January 2020 continued

- ▶ The company signalled a clear commitment from the new Airbus Board and its Ethics & Compliance Committee (responsible for the internal investigation) to fully co-operate with the investigation and provided an open invitation for authorities to discuss any concerns directly with the Committee.
- ▶ It provided the first accounts of all relevant individuals to the SFO investigation.
- ▶ Airbus kept the authorities well-informed of the implementation of its new compliance programme, including instances where it has detected activity that caused concern.

The DPA also refers to the remedial actions taken by Airbus starting with the freeze on payments to BPs from late 2014. The judge made clear that Airbus *“truly turned out its pockets and is now a changed company to that which existed when the wrongdoing occurred”*. These actions were a factor to the decision by the SFO not to recommend the appointment of an external monitor as part of the DPA in this case. Examples of Airbus' remedial action include:

- ▶ Airbus has changed its management team, appointing a new Chief Executive Officer, supported by a new Chief Finance Officer and a new General Counsel.
- ▶ It commissioned an Independent Compliance Review Panel (ICRP) to complete an independent review of Airbus' ethics and compliance procedures. A report produced by this panel in 2019, noted that *“the company is now in a very different place than it was”* during the initial report.

- ▶ Airbus ethics and compliance teams were restructured to ensure functional independence from the business.
- ▶ It created a sub-committee of the Board, entitled the Ethics & Compliance Committee to provide independent oversight of the company's ethics and compliance programme. It appointed a dedicated Ethics & Compliance Officer with changed reporting lines directly to the General Counsel and the Ethics & Compliance Committee.
- ▶ Airbus created numerous new compliance roles and extensively recruited highly experienced senior compliance professionals.
- ▶ It carried out a company-wide, systemic and comprehensive anti-bribery and corruption risk assessment.
- ▶ Airbus significantly reduced the use of external consultants across the Airbus group of companies. It stopped using BPs to assist with sales in the Commercial Division and greatly restricted the use of BPs in other divisions, leading to a 95% reduction in the use of BPs by 2015.
- ▶ It implemented a targeted anti-bribery and corruption two-year training plan under the supervision of the Ethics and Compliance Engagement Team for all employees identified in high and medium risk exposed positions.
- ▶ It has commissioned the independent review and testing of its compliance structures and procedures by the ICRP, PwC and the French Anti-Corruption Agency (AFA).



The world's largest bribery settlement finalised in January 2020 continued

Key terms of the DPA:

The key terms of the DPA were as follows:

- ▶ Disgorgement of profit totalling €585.94m (£494.89m) representing the gross profit of conduct covered by the five counts between 1 July 2011¹ and 31 March 2020.
- ▶ A financial penalty of €398.03m (£336.18m) in line with the DPA principle that the financial penalty must be comparable to a fine imposed upon conviction after a guilty plea.

The financial penalty is calculated according the following formula²:

Harm penalty: Harm figure x culpability multiplier	Financial penalty: Harm penalty – equivalent guilty plea discount – discount for co-operation
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The calculation for this case was:

Harm penalty		€796.07m (£672.37m)
Equivalent guilty plea discount percentage	€265.36m (£224.12m)	
Discount for cooperation percentage	€132.68m (£112.06m)	
Total discount received		€398.03m (£336.18m)
Financial penalty		€398.03m (£336.18m)

Any differences in totals are as a result of rounding differences

¹ It was agreed that the gross profit earned prior to implementation of the Bribery Act 2010 on 1 July 2011 does not fall to be disgorged.

² The harm figure and culpability multiple are calculated by reference to the then Sentencing Council's Definitive Guideline on Offences (the Guideline).

The **culpability multiplier** is calculated in accordance with the criteria in the Guideline, which sets out aggravating and mitigating factors that move the multiplier up or down the definitive scales and ranges. The offences are judged to be in either the medium culpability category (a starting point of 200% and a range of 100% to 300%) or the high capability category (a starting point of 300% and a range of 250% to 400%). The culpability multiple was calculated based on the following reasoning:

Charge	Nature	Culpability category	Reason
1, 2, 3 and 5	Failure to prevent bribery	Category A	Abuse of dominant market position, or position of trust and responsibility, the offending took place over a sustained period of time and involved senior employees
4	Failure to prevent bribery	Category B	No Airbus employees are alleged to be party to the predicate bribery

The **equivalent guilty plea discount** was set at 33.3% and the **discount for co-operation** at 16.7% of the financial penalty. Thus, the financial saving arising from Airbus' co-operation was 50% of the penalty it otherwise would have incurred (€796.07m / £672.37m), an increase of €398.03m (£336.18m).

Both the disgorgement and the fine will be paid to the Consolidated Fund (a windfall for the UK Government) by 1 March 2020:

- ▶ In compliance with the DPA Code of Practice, the SFO will recover its costs of €6.99m and any additional costs between 17 January to 31 January 2020.
- ▶ At the company's own expense, the DPA sets out that it is to continue to implement compliance and ethics programme improvements. These are designed to enhance its ability to prevent and detect offences contrary to the Bribery Act 2010 and other applicable fraud and anti-corruption laws throughout its operations, including those of Airbus and Airbus-controlled subsidiaries.



No compensation payment was imposed in this case on the grounds that:

- ▶ The SFO could not easily identify a quantifiable loss arising from the criminal conduct concerned.
- ▶ There was no evidence that any of the products or services which Airbus sold to customers were defective or unwanted so as to justify a legal claim for the value of an adequate replacement.
- ▶ The DPA does not prevent any victims that there may be from claiming compensation.

Further enforcement action

The SFO announced that its investigation remains active and the position in relation to individuals is being considered. The DPA terms state that that Airbus will be required to provide assistance in the investigation and prosecution of any individuals involved in criminal conduct relating to the matters covered by the DPA.

Cases



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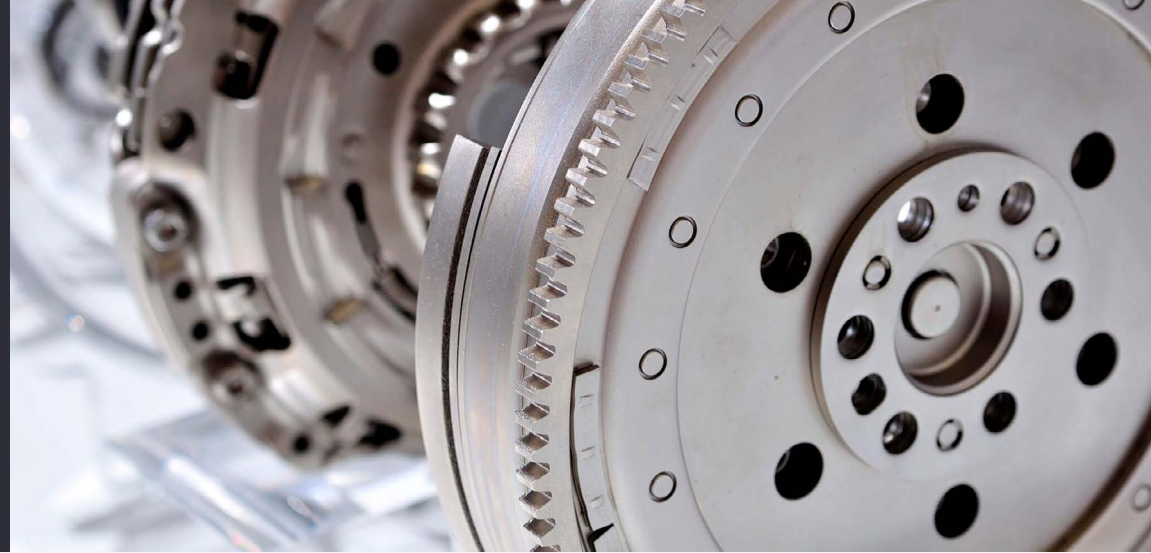
Stephen Cloney

June 2020



This case relates to the acceptance of bribes in return for confidential information. Between April 2015 and January 2019, former police constable Stephen Cloney provided confidential police intelligence to people believed to have been involved in serious organised crime in return for cash. He unlawfully accessed police systems and databases to obtain police intelligence which he used to tip off criminals about covert operations and planned police raids. The investigation was conducted by the Merseyside Police Anti-Corruption Unit that found that Cloney had received around £8,055 in deposits to his bank account. Cloney was sentenced to five years' imprisonment under Section 26 of the Criminal Justice and Courts Act 2015 referring to corruption.

100 Kevin Herbert February 2020



Kevin Herbert (34) received a suspended sentence of two years' imprisonment after pleading guilty to three offences contrary to the Bribery Act. Herbert, a former purchasing and supply chain manager at Williams Hybrid Power Ltd (Williams Hybrid Power), both received and solicited bribes in return for showing favour to engineering firms that supplied Williams Hybrid Power with parts. Between 2011 and 2013, Herbert received bribes amounting to £21,600 and £10,890 respectively from two individuals in return for providing their firms with orders. Additionally, Herbert requested a bribe of £35,000 from directors at two other engineering firms with the promise of directing orders for Williams Hybrid Power to their companies.

Although the bribery scheme in this case is not unusual, the wider case brought by the CPS also included charges against the two individuals who offered bribes to Kevin Herbert and a charge under Section 7 of the Bribery Act against the company of one of these individuals. This case marked the third prosecution for the Section 7 failure to prevent offence and had the potential to have provided further guidance on Section 7. However charges against the individuals and company were dropped in December 2019 due to insufficient evidence. Nevertheless Kevin Herbert, who pleaded guilty to his respective offences, was successfully prosecuted and sentenced. The case has had very limited reporting in the public domain and, as a result, there are a number of aspects to the case which we are unable to report on.

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Martin Crean

February 2020



Martin Crean (49), a former Capita Electronic Monitoring Services (EMS) security worker, accepted bribes from criminals to fix their electronic ankle tags so they could move undetected. EMS was involved in a six-year £400m tagging contract for the UK Government.

Mr Crean's corrupt scheme involved charging 37 suspects £500 each to tamper with the monitoring devices fixed to their ankles, allowing the defendants to slip the tags on and off. Mr Crean began the offences in December 2015 after Capita replaced his device tool kit which he alleged he had lost in a robbery. He used his spare tool kit to alter the tags by replacing ankle straps. He then digitally reset the monitoring devices in order to avoid detection of tampering.

Mr Crean was caught in January 2017 after one of the individuals he had provided services to, was involved in and caught for further criminal activity. Mr Crean was sentenced to seven years imprisonment for perverting the course of justice. The total term of imprisonment for perverting the course of justice imposed on the 37 individuals who were convicted during the Metropolitan Police investigation, amounted to more than 42 years.

A Capita spokesperson stated, "We have a zero-tolerance policy for any employee who undermines the robustness of the electronic monitoring service. Following the identification of this individual's pattern of behaviour a thorough internal review was conducted that led to our control processes being strengthened". This case highlights the importance of:

- ▶ Having adequate and regular risk assessments to ensure that areas of the business open to bribery and corruption risks have robust controls in place to mitigate such activity.
- ▶ Actively promoting a whistle-blower line both internally and externally.
- ▶ Investing in communicating a culture of 'doing the right thing' throughout the organisation. This involves more than zero-tolerance statements and requires top-level commitment and reflection in processes across all business operations.

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Lee Wylie and others

January 2020



This case involves a bribery scheme of kickbacks received in return for securing contracts. Lee Wylie (48) committed the corrupt offences whilst working as a divisional Director for housing services firm Lakehouse, who installed the fire alarms for Grenfell Tower.

Mr Wylie was in charge of fire safety contracts on behalf of Hackney Council's former arms-length management organisation Hackney Homes, and secured work for sub-contractors Constantinos Polycarpou (42), Stephen Ellis (51), Richard Lee (45), and Mark Middleton (51). Between 2012 and 2014, Mr Wylie accepted bribes from these sub-contractors of up to £800,000 and spent the cash on foreign holidays, watches, cars, dining at restaurants as well as a custom made grandfather clock.

The allegations came to light in July 2013, when a whistle-blower contacted Hackney Council and accused Spicer's Ltd, owned by Messrs Ellis and Lee, and MJM Ltd, owned by Mr Middleton, of paying bribes to K and R Consultants Ltd in return for work with Lakehouse. A complex police investigation uncovered that K and R Consultants Ltd was a sham company set up to receive the bribes by the partners of Mr Wylie and Mr Wylie's colleague at Lakehouse, who was also involved in the scam.

During the investigation, Mr Middleton claimed that Mr Wylie had said if he wanted work with Lakehouse to install smoke alarm systems, he would have to pay £50 a job – a figure that soon increased to £100. He said Mr Wylie asked him to create a false invoice for £72,000 of work never done. In total Spicer's paid £559,000 in bribes, MJM paid £225,000, and Mr Polycarpou paid £10,000.

Mr Wylie was sentenced to six years' imprisonment for bribery. Messrs Lee, Ellis, and Middleton were each sentenced to one year and six months imprisonment for both bribery and theft to run concurrently, suspended for two years. Messrs Lee and Ellis were ordered to pay £10,000 each in costs and Middleton to pay £5,000. Mr Polycarpou was sentenced to nine months' imprisonment, suspended for two years and ordered to pay £40,000 in costs.

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Nasir Jamshed, Yousef Anwar and Mohammed Ijaz December 2019



This case concerns former international cricketer, Nasir Jamshed (30), who was found guilty of accepting a bribe as part of a Twenty20 Cricket spot-fixing syndicate. While playing for the Rangpur Riders in the Bangladesh Premier League (BPL) T20 tournament, opening batsman Mr Jamshed agreed not to score runs from the first two balls of the innings. The scheme had been arranged with the help of Yousef Anwar (36) and Mohammed Ijaz (34).

Mr Jamshed was initially the target of bribery in Bangladesh but then acted as a go-between, encouraging other players to spot-fix in return for money in Dubai in 2017. The corrupt plots were exposed by an undercover police officer from the National Crime Agency who infiltrated the syndicate network. The police officer's investigation uncovered an attempted fix in the BPL in 2016 and an actual fix in the Pakistan Super League in 2017, with opening batsmen agreeing to not score runs from the first two balls.

Independently of the National Crime Agency's investigation, the International Cricket Council, cricket's governing body, had been tipped off that a fix was due to happen in the game and had contacted the local cricket board. An investigation was launched and the scheme was uncovered.

Mr Anwar, described in court as the ringleader, told the undercover officer he had six players, including Mr Jamshed, working for him in the BPL and freely admitted having been involved in spot-fixing for about 10 years. Messrs Jamshed, Anwar and Ijaz, all UK nationals, faced criminal charges following the NCA's investigation. Mr Anwar and Mr Ijaz both pleaded guilty to conspiracy to commit bribery in regard to spot-fixing matches in the Pakistan Super League and BPL. After the trial had started, Mr Jamshed, of Walsall, changed his plea and admitted a single count of conspiracy to commit bribery in relation to the Pakistan Super League.

Yousef Anwar was sentenced to three years and four months imprisonment; Mohammed Ijaz to two years and six months imprisonment; and Nasir Jamshed to one year and five months imprisonment. Mr Jamshed was also suspended from all forms of cricket for 10 years by the local cricket board.

During sentencing, Judge Richard Mansell QC said: "Corruption of this kind has sadly been taking place in the game of cricket for a very long time."

95

Giuseppe Pagliara, Dax Price and Tommy Wright

December 2019



Giuseppe Pagliara (64) and Dax Price (48) were football agents who were being investigated by journalists from the Daily Telegraph. The journalists, posing as representatives from a sports management company, were investigating allegations of corruption in football. They gathered evidence by recording meetings in which Messrs Pagliara and Price discussed various corrupt schemes. One such meeting involved Barnsley Football Club (Barnsley FC) Assistant Head Coach Tommy Wright (53). Wright received a bribe of £5,000 in return for revealing sensitive information about Barnsley FC's players and encouraging players to appoint Messrs Pagliara and Price as their agents. In September 2016, following the Daily Telegraph's publication of evidence, a criminal investigation was launched.

In December 2019, following a trial at Southwark Crown Court, all three men were found guilty of offences under the Bribery Act 2010. Messrs Pagliara and Price were both found guilty of two counts of bribery, contrary to Section 1 (offences of bribing another person). Mr Wright was found guilty of two counts of bribery, contrary to Section 2 (offences relating to being bribed).

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Tullett Prebon Europe
Limited and TP ICAP
October 2019



[CLICK TO CONTINUE](#)

93

Guralp Systems Limited

October 2019



[CLICK TO CONTINUE](#)

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Mark Hopkins

July 2019



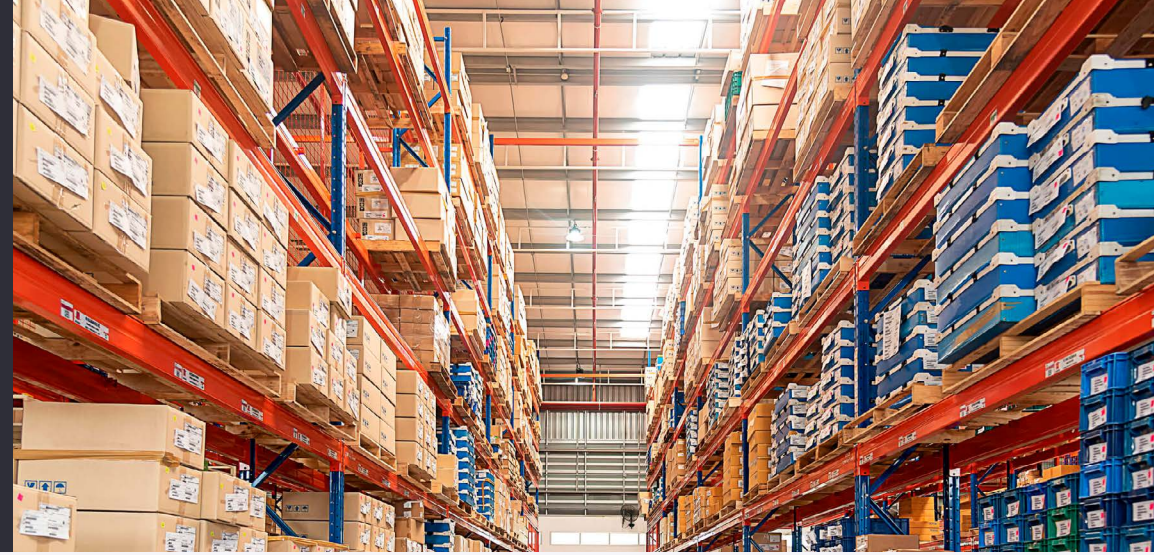
A former police constable, Mark Hopkins (49) was found guilty of accepting a bribe in order to not pursue an assault case. He accepted a £1,000 cash bribe as payment for encouraging a baseball bat attack victim to withdraw a statement in 2008. He failed to record details of the threats received by the victim and even visited the victim's home whilst off-duty in an attempt to ensure he withdrew his statement, ultimately countersigning a form which brought the investigation to an end.

The corrupt activity was disclosed six years later in 2014 by Mr Hopkins ex-wife. He was found guilty of perverting the course of justice and was sentenced to four years' imprisonment.

91

Carole Ann Hodson – ACLA Fasteners

June 2019



Carole Ann Hodson (63) was the owner and director of a manufacturing company, ALCA Fasteners Limited (ALCA). She was convicted of a breach of Section 1 of the Bribery Act in relation to bribes paid to Mr Terje Moe, a purchasing manager at Würth Group, a Germany based customer of ALCA.

Between 1 July 2011 and 31 July 2016, Ms Hodson paid kickbacks amounting to 2.5% of every order placed by Mr Moe. For contracts worth £12m, bribes totalling £293,234 were paid as 64 separate monthly cash instalments over the period. On one occasion, she also sent jewellery in a brown envelope to Mr Moe. Fake invoices were used to explain the cash transfers, disguised in ALCA's accounts as *"sales commission payments"* or other payments not related to genuine transactions. She later lied to the company's auditors to conceal the true nature of the payments.

The SFO press release stated that an investigation started on 20 December 2017 following a self-report by the current owners and directors of ALCA who became aware of the bribery after acquiring the firm from Ms Hodson in 2017. It was found that she had also lied to the purchasers by claiming that the company had not been involved in any unlawful conduct. The SFO stated that *"the Company and its new directors cooperated fully with the investigation, and no further action will be taken."* Ms Hodson was sentenced to two years imprisonment and disqualified as a director for seven years. In addition, she was ordered to pay a confiscation order of £4.5m and £0.47m in costs to the SFO.

Mr Moe, the purchasing manager, pleaded guilty to two charges relating to the receipt of bribes, contrary to the Norwegian Criminal Code, on 6 July 2018 in Norway.

Whilst the nature of the bribery scheme is unoriginal, the case is noteworthy for two reasons:

- ▶ It highlights the risks of acquiring revenue streams dependent on bribes when purchasing a company and reiterates the importance of pre- and post-acquisition due diligence.
- ▶ The SFO's pragmatic approach towards the company, despite it having benefitted from the bribery, is illustrative of the application of the public interest test in the case of unlawful conduct discovered post-acquisition and indicates that the SFO is willing to give merit for full co-operation which includes a timely self-report and remedial action.

90

Jaspreet Kaur

April 2019



Jaspreet Kaur (41) was an immigration agent who had abused her role and demanded a payment of £2,500 from an Indian national who was due to be deported from the UK.

Ms Kaur falsely claimed she had “*pulled strings*” to have the man released from an immigration removal centre in March 2017. She also claimed that if he paid her, any outstanding deportation orders against him would not be enforced.

She was arrested in July 2017 and pleaded guilty under Section 2 of the Bribery Act 2010 (offences relating to being bribed). In April 2019, she was sentenced to three years and nine months imprisonment.

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David Lufkin

February 2019



David Lufkin (51), was the Global Head of Sales at Petrofac International Limited (Petrofac), a provider of services to the oil and gas production and processing industry. Operating in 29 countries, it designs, builds, operates and maintains oil and gas facilities.

In May 2017, the SFO announced that it was investigating Petrofac. As part of its ongoing investigation, the SFO brought charges against Mr Lufkin relating to payments made allegedly to influence the award of contracts awarded between 2012 and 2015 in Iraq and Saudi Arabia, including:

- ▶ A payment of US\$2m to two agents in respect of a US\$329.7m Iraqi oilfield contract.
- ▶ Payments of approximately US\$4m made to an agent in respect of another Iraqi contract which was awarded to Petrofac in August 2012, together with yearly extensions awarded in 2013, 2014 and 2015. The total contract was worth approximately US\$400m to Petrofac.
- ▶ Payments of approximately US\$5.8m, US\$21.4m and US\$19.5m made to agents in respect of contracts in Saudi Arabia worth approximately US\$3.7b.

Mr Lufkin pleaded guilty to 11 counts of bribery, contrary to Section 1 of the Bribery Act 2010 (offences of bribing another person). At the time of writing, sentencing is pending. No charges have been brought against any Petrofac group company or serving officers or employees.

This case is noteworthy for the following reasons. The size of the payments allegedly made to secure contracts were significant, total payments exceeded \$50m. In addition, this was a successful criminal prosecution of an individual under the UK Bribery Act secured whilst a wider SFO investigation was ongoing.

The case highlights several factors that increase the risk of bribery and corruption:

- ▶ Petrofac operates within the oil and gas sector, often considered a high-risk sector for bribery and corruption.
- ▶ The purpose of the payments was alleged to be to secure contracts worth billions of dollars in countries where corruption is generally perceived and accepted to be high¹.
- ▶ Intermediaries and agents facilitated the payments.

¹ The Corruption Perceptions Index scores for Iraq and Saudi Arabia are 20 and 53, reflecting a medium to high perceived level of corruption. Transparency International Corruption Perceptions Index 2019.

88

Dilbaagh Singh-Derewal and Gurpal Singh

January 2019



A former bank employee, Dilbaagh Singh-Derewal (24) and his associate Gurpal Singh (37) were convicted of offering bribes to bank employees as part of a fraud scheme. They approached ex-colleagues, with whom they were acquainted through playing football together, to make several illegal transfers amounting to £200,000 each from suspense accounts held by the bank, where more than £3b of invalid payments were held, into accounts under their control. In exchange, the two employees were offered bribes of between £10,000 and £25,000. It is understood that the fraudsters also sent text messages to the staff members proposing this could be a weekly arrangement, meaning the total losses from the attempted fraud could have been significantly higher.

The attempted fraud, which occurred in February 2017, failed when the employees alerted their managers and the matter was referred to the Dedicated Card and Payment Crime Unit, a police unit sponsored by the cards and banking industry that targets fraudsters.

Mr Singh was convicted of one count of bribery and sentenced to three years and two months imprisonment, while Mr Singh-Derewal, was convicted of two counts of bribery and sentenced to two years and six months imprisonment.

87

Thomas Gunn Navigation Systems Limited and Thomas Gunn

2019



Thomas Gunn Navigation Systems Limited (TGNS), an Aberdeen-based technology company operating in the shipping sector, admitted to benefiting from corrupt payments made by their staff between 2003 and 2012. The bribes, amounting to £30,000, were paid to executives at a London-based shipping firm, in exchange for contracts worth £138,000 awarded to them. The corrupt activity was discovered after TGNS was acquired by a larger company. The new board of directors initiated an investigation and made a self-report to the Crown Office and Procurator Fiscal Service (COPFS). Following a full investigation instructed by the COPFS, the company reached a settlement with the Civil Recovery Unit in 2013 to the sum of £138,000, which represented the value of the corruptly obtained contracts. The managing director of TGNS, Thomas Gunn, was prosecuted separately for his involvement. He was sentenced to a Community Payback Order for two charges of conspiracy to make corrupt payments to maintain commercial contracts between TGNS and the shipping firm, contrary to the Prevention of Corruption Act 1906 and the Bribery Act 2010.

Table of cases

Case reference	Date	Name	Sector	Enforcement agency notified	Enforcement agency	Source of enquiry	Self reported?	Date of transactions	Value of business advantage gained	Value of bribe	Location of transactions	Legal basis of action	Financial penalty	Basis of financial penalty	Other penalties	Other financial effects
1	April 2008	Shinder Singh Gangar Alan White Nigel Heath <i>(re Dobb White & Co)</i>	High yield investments	September 2002	SFO Leicestershire Police	A separate SFO investigation	No	Not known		US\$500,000 bribe	USA	Criminal: S.1 CLA	£2,289,974 £686,997	Confiscation order Confiscation order	18 months jail sentence for corruption and 6 years for fraud 18 months jail sentence for corruption and 6 years for fraud 6 months jail sentence	
2	September 2008	Niels Tobiasen Ananias Tumukumbe	Security consulting services	Not known	CoLP CPS	SAR	No	May 2007	£500,000 (value of contracts)	£83,000 payments to officials	Uganda	Criminal: S.1 PCA			5 months jail sentence suspended for a year 1 year jail sentence; subsequently deported	
3	October 2008	Balfour Beatty plc	Engineering and construction services	April 2005	SFO		Yes	1998 to 2001			Egypt	Civil: POCA (Part 5) (referencing S.221 Companies Act 1985)	£2.25m			Contribution to costs of the Civil Recovery Order External monitor appointed
4	January 2009	Aon Limited	Insurance broking	July 2007	FSA	SAR filed with SOCA and FSA	Yes	January 2005 to September 2007	US\$7.1m €1m (value of business secured)	US\$2.5m €3.4m (commissions paid to overseas third parties)	Bahrain, Bulgaria, Myanmar, Bangladesh, Indonesia, Vietnam	Civil: S.206 FSMA	£5.25m			
5	September 2009	Mabey & Johnson Limited	Engineering (temporary bridges)	January 2007	SFO		Yes	1993 to 2002	Iraq: €4.2m (contract revenues) Jamaica: £8m (contract revenues) Ghana: £26m (contract revenues)	Iraq: €420,000 payments to government Jamaica: £200,000 payments to officials Ghana: £470,000 payments to officials	Iraq, Jamaica and Ghana	Criminal: S.1 CLA	Iraq: £2m Iraq: £618,000 Jamaica: £750,000 Jamaica: £139,000 Ghana: £750,000 Ghana: 658,000 £1.1m	Fine Reparation Fine Reparation Fine Reparation Confiscation order	First year monitoring costs up to £250,000 SFO costs of £350,000	
6	October 2009	AMEC plc	Engineering and project management	March 2008	SFO		Yes	2005 to 2007		US\$9m	South Korea	Civil: POCA (Part 5) (referencing S.221 Companies Act 1985)	£4.95m			Contribution to costs of the Civil Recovery Order External consultant appointed
7	March 2010	Innospec Limited	Chemicals	October 2007	SFO	UN Independent Inquiry Committee	No	February 2002 to December 2006	US\$160m (value of contracts)	US\$9.2m in kickbacks	Indonesia	Criminal: S.1 CLA Criminal: S.1 PCA	US\$6.7m US\$6m	Confiscation penalty in respect of Indonesian corruption Civil recovery of which US\$5m to UN Development Fund for Iraq (penalties taking into account the ability to pay)	SFO appointed monitor	Innospec to pay costs of a monitor for up to three years
8	April 2010	Robert Dougall <i>(re DePuy International Limited)</i>	Medical goods		SFO West Yorkshire Police	Internal whistleblower Referred to SFO by DoJ	No	1998 to 2006	£14.8m (profit on contracts)	£4.5m (payments to Greek officials)	Greece	Criminal: S.1 PCA			12 months prison term suspended for 2 years on appeal	
9	June 2010	Paul Kent Silinder Singh Sindu Stuart Ford Rebecca Hoyle Sarah Kent <i>(re Learning Skills Council)</i>	Government funded training programmes	July 2006	SFO West Mercia Police	LSC Whistleblower	No	June 2003 to August 2005	£1.3m (contract value)	£300,000	UK	Criminal: S.1 PCA Criminal: S.329(1)(b) POCA Criminal: S.328 (1) POCA Criminal: S.16 Theft Act 1968			4 years 6 months imprisonment 3 years imprisonment 2 years imprisonment 1 year imprisonment suspended for 2 years 12 months imprisonment suspended for 2 years, 200 hours unpaid work and 12 months supervision order	
10	October 2010	Julian Messent <i>(re PWS International Limited)</i>	Insurance broking	October 2005	SFO CoLP	Foreign and Commonwealth Office	No	February 1999 to June 2002		US\$1,982,230 as inducements or rewards	Costa Rica	Criminal: S.1 PCA	£100,000	Compensation to the Republic of Costa Rica	21 months imprisonment and 5 years disqualification as a director	

Table of cases continued

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11	December 2010	Weir Group plc	Oil and gas services	2004	COPFS	UN Independent Inquiry Committee	No	2000 to 2002	£13.9m (profit on contracts)	£3m kickbacks	Iraq	Civil: POCA (Part 5) (referencing S.221 Companies Act 1985) Criminal: The Iraq (United Nations Sanctions) Order 2000	£13,945,692 £3m	Profit on contracts Fine		
12	December 2010	BAE Systems plc	Defence	2004	SFO	Investigative journalism	No	1999 to 2005	US\$39.97m (contract value)	US\$12.4m (payments to intermediaries)	Tanzania	Criminal: S.221 Companies Act 1985	£500,000 £29.5m	Fine Ex-gratia payment for the benefit of the people of Tanzania		Remediation as set out in the Report of Lord Woolf £225,000 in SFO costs
13	February 2011	Richard Forsyth David Mabey Richard Gledhill <i>(re Mabey & Johnson Limited)</i>	Engineering (temporary bridges)	January 2007	SFO		Yes	2001 and 2002	€4.2m (contract revenues)	€420,000 payments to Iraq government	Iraq	Criminal: The Iraq (United Nations Sanctions) Order 2000			21 months imprisonment and 5 years disqualification as a director 8 months imprisonment and 2 years disqualification as a director 8 months imprisonment suspended for 2 years	£75,000 of prosecution costs £125,000 of prosecution costs
14	February 2011	MW Kellogg Limited	Oil and gas	October 2009	SFO	French prosecutors	Yes	1995 to 2004	US\$6bn (total value of contracts)	US\$182m (paid to government officials)	Nigeria	Civil: POCA (Part 5)	£7.028m	Amount of share dividends payable from profits of parent company derived from contracts obtained by bribery and corruption	MWKL to overhaul its internal audit and control measures	MWKL pay costs of investigation
15	February 2011	Aftab Noor al-Hassan Riad El-Taher	Oil and gas	October 2005	SFO	UN Independent Inquiry Committee	No	2001 to 2002	US\$220m oil value (with profits of US\$4.4m) US\$50m oil value (with profits of US\$600k)	US\$1.6m US\$500,000	Iraq	Criminal: The Iraq (United Nations Sanctions) Order 2000			16 months imprisonment suspended for 2 years 10 months imprisonment	
16	April 2011	Mark Jessop	Medical goods	December 2005	SFO	UN Independent Inquiry Committee	No	2000 to 2003	US\$12.3m (value of contracts)	€339,900	Iraq	Criminal: The Iraq (United Nations Sanctions) Order 2000	£150,000	Fine – payable to the Development Fund for Iraq	24 weeks custodial sentence	Jessop pays prosecution costs of £25,000
17	April 2011	DePuy International Limited	Medical goods	October 2007	SFO	Internal whistleblower Referred to SFO by DoJ	No	1998 to 2006	£14.8m (profit on contracts)	US\$7.37m	Greece	Civil: POCA (Part 5)	£4.829m			DePuy pays prosecution costs
18	July 2011	Willis Limited	Wholesale Insurance and reinsurance broking		FSA	FSA and SARs filed with SOCA	No	2005 to 2009	£59.7m (income from business introduced by overseas introducers)	US\$227,000 (commission paid to overseas introducers)	“High risk jurisdictions” Egypt, Russia and Argentina cited	Civil: S.206 FSMA	£6.895m	Fine		Willis to carry out a review of past payments to overseas third parties “Significant” financial and management time costs per the FSA
19	July 2011	Macmillan Publishers Limited	Educational materials	December 2009	SFO CoLP	World Bank Report	Yes	2002 to 2009	£11.26m (value of contracts)		Rwanda, Uganda and Zambia	Civil: POCA (Part 5)	£11.26m	Revenue received from potentially unlawful conduct	MPL debarred from World Bank contracts for minimum 3 years SFO approved monitor put in place	MPL pay all investigation costs MPL pay £27,000 SFO costs MPL withdrew from all public tenders in education business in East and West Africa Loss of bid securities
20	October 2011	Munir Yakub Patel	Public service		CPS	Press investigation	No	August 2011		£500	UK	Criminal: S.2 Bribery Act			3 years imprisonment	
21	November 2011	Mazhar Majeed Salman Butt Mohammad Asif Mohammad Amir	Cricket/gambling			Press investigation	No	August 2010		£150,000	UK	Criminal: S.1 CLA			32 months imprisonment 30 months imprisonment 12 months imprisonment 6 months imprisonment	£105,000 between them in prosecution costs

Table of cases continued

Case reference	Date	Name	Sector	Enforcement agency notified	Enforcement agency	Source of enquiry	Self reported?	Date of transactions	Value of business advantage gained	Value of bribe	Location of transactions	Legal basis of action	Financial penalty	Basis of financial penalty	Other penalties	Other financial effects
22	January 2012	Mabey Engineering (Holdings) Limited <i>(re Mabey & Johnson Limited)</i>	Engineering (temporary bridges)	January 2007	SFO		Yes	1993 to 2002	Contracts totalling £8m (in Jamaica), £26m (in Ghana), €4.2m (in Iraq)	Jamaica: £200,000 Ghana: £470,000 Iraq: €420,000	Iraq, Jamaica and Ghana	Civil: POCA (Part 5)	£131,000	Dividends received by parent company derived from contracts won by subsidiary through unlawful conduct		£2,000 in costs
23	January 2012	Andrew Rybak Ronald Saunders Philip Hammond Barry Smith	Oil and gas	April 2008	SFO CoLP	Whistleblower	No	2001 to 2009	Approx £70m (value of contracts)	US\$100,000 (10% of Styrene Monomer Project, Iran) US\$250,000 (for info re QASR Gas gathering Project, Egypt) £357,000 and US\$229,000 (for info re Sakhalin Island Project)	Iran, Egypt, Russia, Singapore and Abu Dhabi	Criminal: S.1 PCA			5 years imprisonment and 10 years disqualification as a director 3 years and 6 months imprisonment 3 years imprisonment and 10 years disqualification as a director 12 months imprisonment, suspended for 18 months	
24	March 2012	James McGeown William Marks John Symington Carol Kealey	Government procurement (CCTV contracts)	2002	Ministry of Defence Police SFO	Whistleblower	No	January 1998 to February 2004	£16.2m (value of contracts)	£84,500	UK	Criminal: S.1 PCA Criminal: article 47 (2) Proceeds of Crime (Northern Ireland) Order 1996	£1m £24,550	Confiscation order Confiscation order	3 years imprisonment, suspended for 2 years and 7 years disqualification as a director 2 years imprisonment suspended for 2 years 9 months imprisonment suspended for 2 years Conditional discharge	
25	May 2012	Syed Jaffery Pritpal Gill	Banking				No	May 2007 to May 2010	Approx £16m (value of loans)		UK	Civil: Breach of fiduciary duty and bribery				
26	June 2012	Andrew Behagg David Baxter John Maylam	Food retailing	2008	CoLP	Audit	No	January 2006 to January 2008	£8.7m overcharged on contracts totalling £40m	£4.9m	UK	Criminal: S.1 PCA Criminal: S.329 POCA			3 years and 6 months imprisonment 2 years and 6 months imprisonment 4 years imprisonment	
27	July 2012	Oxford Publishing Limited (part of Oxford University Press)	Publishing	November 2011	SFO	World Bank investigation	Yes	2007 to 2010	Contracts with profit totalling US\$2.9m		East Africa	Civil: POCA (Part 5)	£1,895,435	Revenue generated from unlawful conduct	World Bank debarment for 3 years Independent monitor for 12 months	£12,500 of costs to the SFO US\$500,000 paid to World Bank Voluntary contribution of £2m to not-for-profit organisation
28	November 2012	Abbot Group Limited	Oil and Gas	July 2012	COPFS	Tax audit	Yes	2007	Contracts with profit totalling US\$8.9m			Civil: POCA (Part 5)	£5.6m	Profit on contract corruptly obtained		
29	December 2012	Mawia Mushtaq	Public service	October 2011	Greater Manchester Police CPS	Individual who was offered a bribe	No	October 2011		£300	UK	Criminal: S.1 Bribery Act			2 months imprisonment suspended for 12 months and a 2 month curfew from 6pm to 6am	
30	April 2013	Yang Li	Education		Avon and Somerset Constabulary	Individual who was offered a bribe	No	November 2012		£5,000	UK	Criminal: S.1 Bribery Act			12 months bribery charge, 6 months firearms charge	£4,880 towards prosecution costs
31	December 2013	JLT Specialty Limited	Insurance broking		FCA	FCA review	No	February 2009 to May 2012	£20.7m (income from business introduced by overseas introducers)		Global: various countries are cited – Argentina, Bahamas, Cameroon, China, Ecuador, Egypt, Gabon, Nigeria, Sudan	Civil: S.206 FSMA	£1,876,000	£1m under the Old Penalty Regime less 30% early settlement discount. Under New Penalty Regime: Relevant revenues £14,000,115 x 10% plus 20% for aggravating factors less 30% early settlement discount		
32	February 2014	Otkritie International Investment Management and others v Urumov	Securities trading				No	November and December 2010		Approximately US\$12m in total	UK and Russia	Civil: Deceit, tort of bribery and/or dishonest assistance; conspiracy and breach of fiduciary duty				Damages of US\$23m and concurrent delivery of US\$12,044,114
33	February 2014	Constantin Medien AG v Ecclestone and others	Sport				No	May 2005		US\$44m		Factual finding of bribery within a wider civil claim				

Table of cases continued

Case reference	Date	Name	Sector	Enforcement agency notified	Enforcement agency	Source of enquiry	Self reported?	Date of transactions	Value of business advantage gained	Value of bribe	Location of transactions	Legal basis of action	Financial penalty	Basis of financial penalty	Other penalties	Other financial effects
34	March 2014	Besso Limited	General insurance broking		FCA		No	January 2005 to October 2009			Various	Civil: S.206 FSMA	£315,000	£450,000 under the Old Penalty Regime less 30% discount for early settlement		Besso was required to requisition a S.166 Skilled Person report
35	June 2014	Chann Sankaran Krishna Ganeshan Michael Boateng	Football/gambling	November 2013	NCA	Press investigation	No	November 2013		€60,000	UK	Criminal: S.1 CLA			5 years imprisonment 5 years imprisonment 16 months imprisonment	
36	June 2014	Dennis Kerrison Miltiades Papachristos Paul Jennings David Turner <i>(re Innospec Limited)</i>	Chemicals	October 2007	SFO	UN Independent Inquiry Committee	No	14 February 2002 to 31 December 2006 (indictment period)	US\$160m (value of contracts)	US\$2.9m in kickbacks	Indonesia	Criminal: S.1 CLA			3 years imprisonment (reduced from 4 years on appeal) 18 months imprisonment 2 years imprisonment 16 months imprisonment suspended with 300 hours unpaid work	£5,000 towards prosecution costs £10,000 towards prosecution costs
37	July 2014	Bruce Hall	Metals	June 2009	SFO CoLP		No	1998 to 2006		£2.9m US\$0.9m	Bahrain	Criminal: S.1 PCA Criminal: S.1 CLA Criminal: S.329 and S.237 POCA Civil: POCA (Part 5)	£3,070,106 £500,010	Confiscation order Compensation	16 months imprisonment (reduced from 6 years for co-operation and guilty plea)	£100,000 towards prosecution costs US\$900,000 disposal by consent
38	July 2014	FHR European Ventures LLP v Mankarious and others	Hotels				No	December 2004		€10m	Monaco	Civil: breach of fiduciary duty				Order to deliver up to €10m
39	December 2014	Gary West Stuart Stone <i>(re Sustainable AgroEnergy plc)</i>	Investment fund		SFO		No	April 2011 to February 2012	£23m of investment funds	US\$2.2m	UK	Criminal: S.2(1) and (2) Bribery Act Criminal: S.1(1) and (2) Bribery Act	£52,805 £1,141,680	Confiscation order Confiscation order	4 years imprisonment (concurrent with fraud offences) and disqualified from acting as a director for 15 years 6 years imprisonment (concurrent with fraud offences) and disqualified as a director for 10 years	
40	December 2014	Christopher Smith Nicholas Smith Smith and Ouzman Limited	Security printing	October 2010	SFO		No	November 2006 to December 2010	£2,220,520	£395,074	Kenya and Mauritania	Criminal: S.1 PCA	£4,500 £18,693 £1,316,799 £881,158	Confiscation order Confiscation order Fine Confiscation order	18 months imprisonment suspended for 2 years, 250 hours unpaid work, 3 month curfew and disqualified from acting as a director for 6 years 3 years imprisonment and disqualified from acting as a director for 6 years	£75,000 costs £75,000 costs £25,000 costs
41	December 2014	International Tubular Services Limited	Oil and gas services	November 2013	COPFS	Acquisition due diligence	Yes		£172,200 (profit on contract)		Kazakhstan	Civil: POCA (Part 5)	£172,000	Profit on the contract corruptly obtained		
42	March 2015	Bank of Beirut Anthony Wills (compliance officer) Michael Allin (internal auditor)	Banking	March 2013	FCA		No	2011 to 2013				Civil: S.206 FSMA	£2.1m £19,600 £9,900	Fine (bank) Fine (compliance officer) Fine (internal auditor)	Stopped from acquiring new customers from high risk jurisdictions for 126 days	
43	April 2015	Delroy Facey Moses Swaibu <i>(re case 35)</i>	Football/gambling	November 2013	NCA	Press investigation	No	November 2013		£2,000	UK	Criminal: S.1 CLA			30 months imprisonment 16 months imprisonment	
44	May 2015	Graham Marchment <i>(re case 23)</i>	Oil and Gas	April 2008	SFO CoLP	Whistleblower	No	2004 to 2008	Approx £40m (value of contracts)	US\$250,000 (for QASR Gas Gathering Project, Egypt) £357,000 and US\$229,000 (for Sakhalin Island Project, Russia)	Egypt, Russia and Singapore	Criminal: S.1 CLA			2.5 years imprisonment Extended by 12 months for failure to pay £37,057.08 outstanding of a confiscation order	

Table of cases continued

Case reference	Date	Name	Sector	Enforcement agency notified	Enforcement agency	Source of enquiry	Self reported?	Date of transactions	Value of business advantage gained	Value of bribe	Location of transactions	Legal basis of action	Financial penalty	Basis of financial penalty	Other penalties	Other financial effects
45	June 2015	Charles Owenson James Costello Kevin Balmer Brendan Cantwell	Construction/Public sector	2010	COPFS	Whistleblower	No	2006 to 2010		£72,000	UK	Criminal: Public Bodies Corrupt Practices Act 1989	£22,000 £62,383 £95,000 £171,224	Confiscation order Confiscation order Confiscation order Confiscation order	4 years and 4 months imprisonment 3 years and 9 months imprisonment 2 years and 10 months imprisonment and disqualified from acting as a director for 5 years 2 years and 3 months imprisonment and disqualified from acting as a director for 5 years	
46	September 2015	Guido Bakker Sijbrandus Scheffer	Pharmaceutical/ International development	2007	CoLP	UN investigation	No	2004 to 2007	US\$43m (value of contracts)	US\$1m	Denmark and UK				12 months imprisonment 15 months imprisonment	
47	September 2015	Brand-Rex Limited	Manufacturing	June 2015	COPFS	Internal investigation	Yes	2008 to 2012	£212,800		UK	Civil: POCA (Part 5)	£212,800	Gross profit obtained		
48	September 2015	Anthony Bodgin Kevin Wingrave Gary Rawlings Harold McGirl Lynda McMayon	Public sector	2011	CPS	Police investigation	No	2005 to 2011	£2.3m (value of contracts) £88,830 (value of contracts) £81,000 (value of contracts)	£400,000 (Bodgin) £262,746 (Wingrave) £33,000 (Rawlings) £5,000 (McGirl)	UK	Criminal: S.1 CLA Criminal: S.4 Fraud Act Criminal: S.327 POCA			3 years and 6 months imprisonment 3 years and 6 months imprisonment Suspended sentence Suspended sentence Suspended sentence	
49	October 2015	22 individuals (re case 20)	Public Service	August 2011	Metropolitan Police	Press Investigation	No	2010 to 2011			UK				Imprisonment (sentences of between 4 and 18 months)	
50	November 2015	Barclays Bank plc	Banking	November 2014	FCA	FCA	No	2011 to 2012	£52.3m (revenue from transaction)			Civil: S.206 FSMA	£52.3m £19,769,400	Disgorgement of revenue Fine		
51	November 2015	Standard Bank plc	Banking	April 2013	SFO	Internal investigation	Yes	March 2013	US\$8.4m (profit on contract)	US\$6m	Tanzania	Criminal: S.7 Bribery Act	US\$8.4m US\$16.8m US\$7m	Disgorgement of profit Fine Compensation to Government of Tanzania	Compliance with terms of DPA, including independent reviews of its existing anti-bribery and corruption controls	£330,000 SFO costs
52	December 2015	Sweett Group plc	Construction	July 2014	SFO	Press allegations	No	2012 to 2015	US\$100m (value of contract)	US\$3.5m	Middle East	Criminal: S.7 Bribery Act	£1.4m £851,152	Fine Confiscation		£95,032 SFO costs
53	April 2016	Braid Group Holdings Limited	Freight and logistics		COPFS	Internal investigation	Yes	2012	£2.2m (gross profit on contracts)		UK	Civil: POCA (Part 5)	£2.2m	Profit on contracts corruptly obtained		
54	April 2016	Elena Kotova	Banking		NCA CoLP	Internal investigation	No	2005 to 2011			UK	Civil: CRO	£1.5m (property) £230,000 (cash)	Surrender of assets acquired using corrupt funds		
55	May 2016	Peter Chapman	Manufacturer	May 2009	SFO Australian Federal Police	Australian Reserve Bank referral	Yes	2009	€30m (sales value)	US\$205,000	Nigeria	Criminal: PCA	£441,944	Confiscation order	2 years and 6 months imprisonment	
56	June 2016	Simon Davies Robert Gillam	Defence		CoLP	FBI referral	No	2009	£5m (contract value)	£120,000	UK and USA	Criminal: PCA			11 months imprisonment and disqualified from being a director for two years 2 years imprisonment and disqualified from being a director for five years	
57	July 2016	Sarclard Limited		November 2012	SFO	Internal investigation	Yes	2004 to 2012	£6.5m (gross profit on contracts)			Criminal: S.1 CLA Criminal: S.7 Bribery Act	£6,201,085 £352,000	Disgorgement of gross profit Fine	Compliance with terms of DPA including annual reporting to the SFO on anti-bribery compliance programme	
58	July 2016	Saeed Shakir Muzaffar Hussain	Local authority	December 2013	Surrey Police	Individual who was offered a bribe	No	December 2013	£1m	£500	UK	Criminal: S.1 Bribery Act			20 months imprisonment 27 months imprisonment (reduced from 3 years on appeal)	

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59	August 2016	Ronald Harper Steven Thompson Christopher Murphy Alan Rollinson Aseai Zlaoui Glynn Orridge	Royal Household		CPS / Leicestershire Police	Police investigation	No	2006 to 2011		£100,000	UK	Criminal: S.2 Bribery Act Criminal: S.1 Bribery Act Criminal: S.4 Fraud Act 2006 Criminal: S.327 POCA			5 years imprisonment 18 months imprisonment 18 months imprisonment 12 months imprisonment suspended for two years 12 months suspended sentence and 200 hours of unpaid work 100 hours of unpaid community work	
60	September 2016	John Reynolds Wesley Mezzone	Fire and Rescue Services		Sussex Police	Internal investigation	No	June 2010 to July 2013	£30,000		UK	Criminal: S.2 Bribery Act Criminal: S.1 Bribery Act Criminal: S.4 Fraud Act 2006			30 months imprisonment 20 months imprisonment	
61	September 2016	Feezan Hameed Nouman Chaudhary Various others	Organised crime	April 2015	Metropolitan Police Fraud and Linked Crime Online Taskforce (FALCON) with support from 16 police forces across the UK	Reports of frauds perpetrated against bank business customers	No	January 2013 to October 2015	£113m		UK	Criminal: S.4 Fraud Act 2006 Criminal: S.327: POCA			11 years imprisonment 3.5 years imprisonment Between 20 weeks and 5 years imprisonment	
62	November 2016	Peter Lewis Richard Moxon	NHS Foundation Trust	December 2011	Surrey Police	Police investigation	No	2011	£950,000	£81,000	UK	Criminal: S.1 PCA			3.5 years imprisonment and 10 years disqualification as a director 14 months imprisonment and 10 years disqualification as a director	
63	December 2016	Aisha Elliott Stephen Oates	Insurance/Claims Management	2015	CoLP	Internal investigation	No	January 2013 to December 2014	£39,000	£16,000	UK	Criminal: S.1 Bribery Act Criminal: S.2 Bribery Act			12 months imprisonment 12 months imprisonment	
64	December 2016	Richard Kingston (re Sweett Group plc)	Construction	July 2014	SFO	Press allegations	No	2015	US\$100m (value of contract)	US\$3.5m	Middle East	Criminal: S.2(16) CLA			12 months imprisonment on 2 counts to run concurrently	
65	January 2017	Rolls-Royce plc Rolls-Royce Energy Systems Inc	Defence aerospace Civil aerospace Energy	2012	SFO	Internal whistleblower	No	1989 to 2013	Gross profit totalling £258m	£34.6m	Indonesia, Thailand, India, Russia, Nigeria, China and Malaysia	Criminal: S.7 Bribery Act Criminal: S.1 PCA	£258m £239m	Disgorgement of profits Financial penalty	Compliance with the terms of the DPA	£13m of SFO costs
66	February 2017	David Mills Alison Mills Michael Bancroft Lynden Scourfield Mark Dobson John Cartwright	Banking/Insurance Services		Thames Valley Police	Referral from the FSA	No	April 2003 to September 2010			UK	Criminal: S.1 CLA	£5,649,940 £4,802,009 £727,309 £131,332 £43,043 £640	Confiscation order Confiscation order Confiscation order Confiscation order Confiscation order	15 years imprisonment 3 years and 6 months imprisonment 10 years imprisonment 11 years and 3 months imprisonment 4 years and 6 months imprisonment 3 years and 6 months imprisonment	
67	February 2017	Stephen Dartnell Simon Mundy	Financial Services		SFO		No	2007 to 2010	£160m	£881,000	UK	Criminal: S.1 CLA Criminal: S.1 Fraud Act 2006	£454,045 £724,092	Confiscation order Confiscation order	15 years imprisonment and 12 years disqualification as a director 7 years imprisonment	
68	June 2017	Androulla Farr	Social Services		Avon and Somerset Police		No			£2,000	UK	Criminal: Public Bodies Corrupt Practices Act 1889			16 months imprisonment suspended for 18 months and 250 hours of unpaid work	
69	June 2017	Andrey Ryjenko	Financial Services		CPS CoLP	Internal investigation	No	July 2008 to November 2009		US\$3.5m	UK and USA	Criminal: S.1 CLA			6 years imprisonment	
70	June 2017	Bernard Gackowski (re case 59)	Royal Household		CPS Leicestershire Police	Police investigation	No	2006 to 2011		£55,000	UK	Criminal: S.1 CLA			10 months imprisonment suspended for 2 years and 200 hours of unpaid work	
71	June 2017	Tracey Miller	Insurance/ Claims Management		CoLP		No	2013		£4,500	UK	Criminal: S.2 Bribery Act	£4,500	Compensation	2 years suspended sentence	
72	September 2017	Wasim Tappuni	International development	September 2011	CoLP	Whistleblower	No	2007 to September 2011		£1.7m	Netherlands, Germany, France Austria and Kazakhstan				6 years imprisonment	

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73	July 2017	Kevin McKee John Zayya Innocent Obiewke William Waring Alandale Rail Limited	Rail transport		British Transport Police	Whistleblower	No	2010	£5.2m (value of contract)	£140,000	UK	Criminal: S.1 PCA	£25,000	Fine	12 months imprisonment and 8 years disqualification from being a director 2 years imprisonment and 8 years disqualification from being a director 2 years imprisonment and 8 years disqualification from being a director 2 years imprisonment and 8 years disqualification from being a director	
74	August 2017	Kayleigh Underhill Andrew Clarke Reace Bowen Sajaad Nawaz Shaiad Nawaz	Insurance	November 2015	CoLP	Action Fraud Report	No			£7,000	UK		£1,050 £150 £300	Compensation Compensation Compensation	12 months imprisonment suspended for 18 months and a rehabilitation order 8 months imprisonment suspended for 18 months and community order 8 months imprisonment suspended for 18 months and community order 4 months imprisonment suspended for 15 months 6 months imprisonment suspended for 15 months and 20 days rehabilitation activity	£540 court costs £540 court costs £540 court costs
75	October 2017	Joerg Blumberg Dirk Juergensen Marc Shweiger Guiseppe Morreale Stephen Emler Ralf Petersen F.H. Bertling Limited	Freight and logistics	2014	SFO		Yes	January 2004 to December 2006	US\$20m (contract value)	US\$250,000	Angola	Criminal: S.1 CLA Criminal: S.1 PCA	£20,000 £20,000 £20,000 £20,000 £15,000 £850,000	Fine Fine Fine Fine Fine Fine	20 months imprisonment suspended for 2 years and 5 year disqualification from being a director 20 months imprisonment suspended for 2 years and 5 year disqualification from being a director 20 months imprisonment suspended for 2 years and 5 year disqualification from being a director 24 months imprisonment suspended for 2 years 18 months imprisonment suspended for 2 years Deceased (prior guilty plea)	
76	November 2017	Raja Hussain Jonaade Hussain Sharear Islam-Miah Abdilahi Ahmed Jamie Lee Lawson Waqas Ahmed Zafarullah Ahmad	Public service				No	February 2017		£500	UK				15 years imprisonment 15 years imprisonment 6 years imprisonment 4 years and 6 months imprisonment 3 years and 1 month imprisonment 2 years and 9 months imprisonment 2 years imprisonment	
77	November 2017	Desmond Tough	Housing	July 2015		Individuals who were asked for bribes	No	December 2014 to May 2015		£2,000	UK				18 months imprisonment	
78	March 2018	Ikram Saleh (re Chad Oil)	Oil and Gas	January 2013	SFO	Due diligence for planned sale of shares	Yes	September 2009 to February 2011		US\$2m	Canada, Chad, UK	Civil: POCA	£4.4m	Profit from sale of corruptly obtained shares		
79	March 2018	Skansen Interiors Limited	Real estate	January 2014	CPS CoLP	Internal investigation Suspicious Activity Report	Yes	2012 to 2013	£6.4m	£10,000	UK	Criminal: S.7 Bribery Act			Absolute discharge	
80	April 2018	Catherine Leahy	Public service	April 2016	COPFS	Tip-off	No	April 2016 to June 2016		£2,830	UK	Criminal: S.2 Bribery Act			6 years imprisonment	

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81	April 2018	Stephen Banks Graham Deakin <i>(re Skansen Interiors Limited)</i>	Real estate	January 2014	CPS CoLP	Internal investigation Suspicious Activity Report	Yes	2012 to 2013	£6.4m	£10,000	UK	Criminal: S.1 Bribery Act Criminal: S.2 Bribery Act	£10,697	Fine	12 months imprisonment and disqualified as a director for 6 years 20 months imprisonment and disqualified as a director for 7 years	
82	September 2018	Tatjana Sanderson <i>(re case 69)</i>	Financial Services		CPS CoLP	Internal investigation	No	July 2008 to November 2009		US\$3.5m	UK and USA	Criminal: S.327 POCA		Cash confiscation	2 years imprisonment suspended for 2 years	
83	October 2018	Osman Shahenshah Shahid Ullah <i>(re Afren plc)</i>	Oil and gas services	June 2015	SFO	Internal investigation	No	May 2013 to July 2014	US\$300m	US\$45m	Nigeria	Criminal: S.1 Fraud Act Criminal: S.4 Fraud Act Criminal: S.328 POCA Criminal: S.329 POCA			16 years imprisonment on 3 counts to run concurrently 14 years imprisonment on 3 counts to run concurrently	
84	November 2018	Mark Evill Robert Howells Michael Cope	Public Sector		CPS	Internal investigation	No	November 2014 to August 2015	£708,000	£12,500	UK	Criminal: S.327 POCA Criminal: S.1 Fraud Act			7 years imprisonment 4 years imprisonment 3 years imprisonment	
85	November 2018	Giuseppe Morreale Stephen Emler Colin Bagwell Christopher Lane <i>(re F.H. Bertling Limited)</i>	Freight and logistics	September 2014	SFO		Yes	January 2010 to December 2013	£16m (value of contract)	£350,000	UK	Criminal: S.1 PCA	£5,000	Fine	15 months imprisonment suspended for 2 years 12 months imprisonment suspended for 2 years 9 months imprisonment suspended for 2 years 6 months imprisonment suspended for 2 years	
86	December 2018	Nicholas Reynolds (Alstom Power) John Venskus (Alstom Power) Goran Wikstrom (Alstom Power Sweden) Alstom Power Limited Alstom Network UK Limited	Rail transport	2009	SFO	Office of the Attorney General Switzerland	No	2000 to 2010	Lithuania: €240m (value of contracts) Tunisia: €85m (value of contract)	Lithuania: over €5m Tunisia: €2.4m	Lithuania, Tunisia	Criminal: S.1 CLA Criminal: S.1 PCA	£6,375,000 £10,963,000 £15,000,000	Fine Compensation to Lithuanian Government Fine	4 years and 6 months imprisonment 3 years and 6 months imprisonment 2 years and 7 months imprisonment	£50,000 in costs £40,000 in costs £700,000 in costs £1,400,000 in SFO costs
87	2019	Thomas Gunn Navigation Systems Ltd Thomas Gunn (former owner)	Freights and Logistics	2012 to 2013	COPFS	Internal investigation	Yes	2003 to 2012	£138,000 (value of contracts)	£30,000	UK	Civil: POCA (Part 5) Criminal: S.1 Bribery Act Criminal: S.1 PCA	£138,000	Profit on the contract corruptly obtained	200 hour community payback order	
88	January 2019	Dilbaagh Singh-Derewal Gurpal Singh	Banking	February 2017	CPS/Dedicated Card and Payment Crime Unit	Whistleblower	No	February 2017		£10,000 £25,000	UK				2 years and 6 months imprisonment 3 years and 2 months imprisonment	
89	February 2019	David Lufkin	Oil and Gas	May 2017	SFO		No	2012 to 2015	Iraq: US\$730m Saudi Arabia: US\$3.5bn in Saudi Arabia	US\$2.2m and US\$4m (for projects in Iraq) US\$5.8 million, US\$21.4 million and US\$19.5m (for projects in Saudi Arabia)	Iraq and Saudi Arabia				Sentence pending	
90	April 2019	Jaspreet Kaur	Public Sector	July 2017	CPS	Individual who was asked for bribe	No	March 2017		£2,500	UK	S.2(1) & S.2(3) Bribery Act 2010			3 years and 9 months imprisonment	
91	June 2019	Carole Ann Hodson	Manufacturing	2017	SFO	Internal Investigation	Yes	1 July 2011 to 31 July 2016	£12m (value of contracts)	£293,235	UK and Norway	Criminal: S.1 Bribery Act	£4,494,541	Confiscation Order	2 years imprisonment and 7 years disqualification as a director	£478,351 of SFO costs
92	July 2019	Mark Hopkins	Public Sector	2014			No	2008		£3,000	UK				4 years imprisonment	
93	October 2019	Güralp Systems Ltd	Engineering (seismology)	October 2015	SFO	Internal Investigation	Yes	April 2002 to Sept 2015	Gross profits totalling £2,069,861	US \$1,034,931	South Korea	Criminal: S.1 Criminal Law Act 1971 Criminal: S.7 Bribery Act 2010	£258.17m £239.08m	Disgorgement of profits Financial penalty		£13m of SFO costs
94	October 2019	Tullet Prebon (Europe) Limited	Broker	August 2011	FCA	FCA enquiry	No	2008 to 2010				Civil: S.206 FSMA	£15.4m			

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95	December 2019	Dax Price Giuseppe Pagliara Tommy Wright	Football		CoLP	Press investigation	No	August 2016		£5,000	UK	Criminal: S.1 Bribery Act Criminal: S.1 Bribery Act Criminal: S.2 Bribery Act			18 months suspended sentence and 250 hours of unpaid community work 2 years suspended sentence and 300 hours of unpaid community work 12 months suspended sentence	£5,000 repayment to the Daily Telegraph £3,000 in costs
96	December 2019	Nasir Jamshed Yousef Anwar Mohammed Ijaz	Cricket/gambling		NCA	Police investigation	No	2016 and 2017			UK				17 months imprisonment 3 years and 4 months imprisonment 2 years and 6 months imprisonment	
97	January 2020	Lee Wylie Richard Lee Mark Middleton Stephen Elis Costantinos Polycarpous Leslie Ratty	Housing services	2014	Metropolitan Police	Whistleblower	No	2012 to 2014		£794,000	UK				6 years imprisonment 1 year and 6 months imprisonment suspended for two years 1 year and 6 months imprisonment suspended for two years 1 year and 6 months imprisonment suspended for two years 9 months imprisonment suspended for two years 12 months imprisonment suspended for two years	£10,000 of costs £5,000 of costs £10,000 of costs £40,000 of costs £500 of costs
98	January 2020	Airbus	Defence aerospace Civil aerospace	April 2016	SFO	UKEF enquiry resulting in internal investigation	Yes	July 2011 to June 2015	Gross profits totalling €585.94m	\$161.4m (Counts 1-4) €3.9m (Count 5)	Malaysia, Sri Lanka, Taiwan, Indonesia and Ghana	Criminal: S.7 Bribery Act	€585.94m €398.03m	Disgorgement of profits Financial penalty		€7m of SFO costs
99	February 2020	Martin Crean	Outsourcing – security services		Metropolitan Police	Police investigation	No	2015 to 2017	Approximately £18,500	£500 each	UK				7 years imprisonment	
100	February 2020	Kevin Herbert	Engineering		CPS		No	2011 to 2013		\$32,490	UK	Criminal: S.2 Bribery Act			2 years imprisonment	
101	June 2020	Stephen Cloney	Public Sector		Merseyside Police Anti-Corruption Unit		No	April 2015 to January 2019		£8,055	UK	Criminal: S.26 Criminal Justice and Courts Act 2015			5 years imprisonment	

Abbreviations

ABC Anti-bribery and corruption

CoLP City of London Police

CJA Criminal Justice Act 1967

CLA Criminal Law Act 1977

CPS Crown Prosecution Service

CRO Civil Recovery Order

CRU Civil Recovery Unit

DoJ US Department of Justice

DPA Deferred Prosecution Agreement

DPP Director of Public Prosecutions

ECU Economic Crime Unit

FCA Financial Conduct Authority

FSMA
Financial Services and Markets Act
2000

MPS Metropolitan Police Service

MoJ Ministry of Justice

NCA National Crime Agency

OECD
Organisation for Economic
Co-operation and Development

PCA
Prevention of Corruption Act 1906

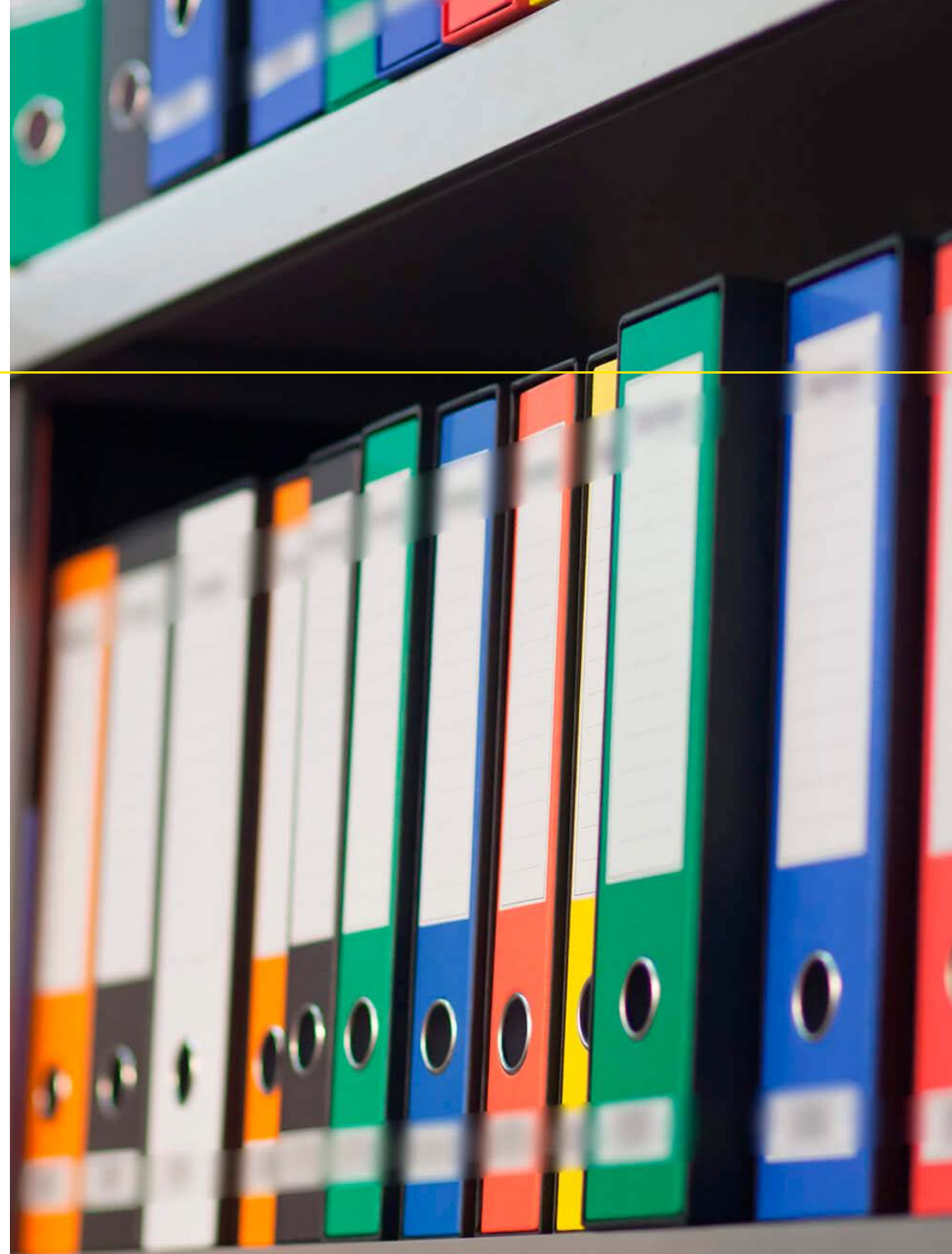
POCA Proceeds of Crime Act 2002

SAR Suspicious Activity Report

SEC Securities and
Exchange Commission

SOCA
Serious Organised Crime Agency

SOCD
Serious Organised Crime Division



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