

Chapter 3

Notification rules for UK recognised bodies

3.20 Disciplinary action relating to members

3.20.1 **R** Where a *UK recognised body* has taken any disciplinary action against any *member* or any *employee of a member*, in respect of a breach of a rule relating to the carrying on by the *UK recognised body* of any of its *regulatory functions*, that body must immediately notify the *FCA* of that event, and give:

- (1) the name of the *person* concerned;
- (2) details of the disciplinary action taken by the *UK recognised body*; and
- (3) the *UK recognised body's* reasons for taking that disciplinary action.

3.20.2 **R** Where an appeal is lodged against any disciplinary action referred to in **REC 3.20.1 R**, the *UK recognised body* must immediately give the *FCA* notice of that event, and:

- (1) the name of the appellant and the grounds on which the appeal is based, immediately; and
- (2) the outcome of the appeal, when known.