

Conduct Rules Scenarios

Breach of Lockdown Restrictions

Scenario

You are Tom Smith, a Certification Employee working for Best Wealth Management Ltd, a Core Firm with offices in London.

Your wife informs you that she is feeling ill and is showing symptoms associated with Covid-19. You believe that it is only a matter of time before you too catch Covid-19. Your wife's condition is deteriorating rapidly and you are worried that you will both become too ill to look after your four-year-old son.

Your parents can assist with childcare and you decide to drive 260 miles from your home in Islington to Bishop Auckland in the north-east of England, where you can stay in their 'Granny Annex'.

You wake up the morning after your arrival in Bishop Auckland with COVID-19-like symptoms. Over the next few days, your symptoms worsen with the result that you cannot get out of bed.

After approximately one week, you are feeling well enough to contemplate a return to London. You drive to Castle Eden (approximately 20 miles away) in order to test whether you are well enough to drive the 260 miles back to London. You decide that you are well enough and, the following day, you return to London.

During the whole episode government guidance has been that nobody should leave their home unless it is an emergency.

On your return to work, you let slip to your line manager, Fred Black (a Senior Manager) that you had spent a week in Bishop Auckland. Unbeknownst to you, Fred Black – worried about possible reputational damage to the firm – escalates the matter to Human Resources for its view as to how Fred should respond (if at all).

What conduct rules may have been breached? Why?

How should the firm respond?

What controls could have been implemented?