
DRAFT STATUTORY INSTRUMENTS

2015 No.

**The Occupational Pension Schemes
(Charges and Governance) Regulations 2015**

PART 4

COMPLIANCE

Penalty notices: recovery from bodies corporate and Scottish partnerships

30.—(1) Where any penalty required by a penalty notice is recoverable from a body corporate or Scottish partnership, and—

- (a) the compliance failure which is the subject of that notice occurred by reason of an act or omission of the body or partnership, and
- (b) that act or omission was done with the consent of, connivance of, or is attributable to any neglect on the part of an officer of the body corporate or the partnership,
the Regulator may require the officer to pay the penalty required by the notice.

(2) In this regulation, “officer”—

- (a) in relation to a body corporate, has the same meaning as in regulation 28(6); and
- (b) in relation to a Scottish partnership, means the partners of that partnership.

(3) Where the Regulator requires any person to pay a penalty by virtue of paragraph (1), it may not also require the body corporate, or Scottish partnership, in question to pay a penalty in respect of the same act or omission.