

**Appendix II to the Second Witness Statement of Simon Recaldin****Convictions from 1990 to 2020 – provided subject to caveats at paragraph 71 of the witness statement**

Year	SPMs	Assistants	Employees	Unknown	Other (Outsider etc.)	Total (convictions)
1990	1 (0)					1 (0)
1991	2 (0)					2 (0)
1992	1 (1)					1 (1)
1993	1 (0)	1 (1)	1 (0)			3 (1)
1994	5 (2)	2 (0)	2(0)			9 (2)
1995	1 (0)	1 (0)				2 (0)
1996	4 (3)	2 (1)	4 (1)			10 (5)
1997	7 (2)	4 (3)	2 (0)			13 (5)
1998	12 (8)	8 (3)	5 (2)	1 (1)		26 (14)
1999	29 (14)	16 (6)	5 (1)	1 (0)		51 (21)
2000						1
2001	19	9	6		1	35
2002	30	15	13		2	60
2003	27	11	13	1	1	53
2004	27	24	7	2		60
2005	31	30	11			72
2006	37	18	6	1	1	63
2007	29	17	6		1	53
2008	22	15	11			48
2009	48	15	7			70
2010	42	10	6			58
2011	30	1	5			36
2012	41	7	6			54
2013	21	1	2			24
2014						0
2015	1	1				2
2016						0
2017						0
2018						0
2019						0
Unknown	36 (7)	27 (7)	17 (7)	12 (7)		92 (28)
<b>Total</b>	<b>504 (442)</b>	<b>235 (195)</b>	<b>136 (111)</b>	<b>18 (12)</b>	<b>6</b>	<b>899 (766)</b>

**Notes**

1. These figures are all subject to the limitations and caveats described at paragraph 71 of the witness statement and below.
2. The post-1999 figures are based on the criteria applied in the PCDE because this data has, where possible, been verified as accurate. These figures relate to cases where it is confirmed (or in some cases assumed where it has not been possible to verify) that: (a) the individual was convicted of a criminal offence; (b) POL (or RMG for prosecutions

relating to POL that took place pre-separation) was the prosecutor; and (c) the prosecution was based wholly or partly on data derived from the Horizon IT system.

3. The pre-2000 data (with a green shaded background) relates to all offence types where a conviction has been confirmed or is assumed where the defendant was an SPM, assistant or POL employee, including all case types. A figure has also been provided in brackets for the subset of cases considered likely to involve a shortfall in the branch accounts based on their descriptions in Casework Spreadsheets.
4. There is one case for the year 2000 because there was only one Horizon-related conviction that year. The figure for non-Horizon related cases for the year 2000 is 56 so the total figure for 2000 is 57. 18 of the 56 non-Horizon related cases are considered likely to have involved a shortfall in the branch accounts based on their descriptions in Casework Spreadsheets.
5. For 2001, there were 35 Horizon-related cases, 44 non-Horizon cases, so 79 convictions in total for all offence types. 13 of the 44 non-Horizon cases are considered likely to have involved a shortfall in the branch accounts based on their descriptions in Casework Spreadsheets.
6. For 2002, there were 60 Horizon-related cases, 13 non-Horizon cases, so 73 convictions in total for all offence types. Two of the 13 non-Horizon cases are considered likely to have involved a shortfall in the branch accounts based on their descriptions in Casework Spreadsheets.
7. There is one individual who was convicted on different counts on two separate dates, one following a guilty plea in 2009 and one following trial in 2010. To avoid the conviction being counted twice, this case has only been counted as one conviction in 2009. The 2010 conviction is not separately included in the table.
8. Cases involving co-defendants have been separated. For example, a case where three co-defendants appear to have been convicted is recorded as three convictions.<sup>1</sup>

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<sup>1</sup> Please note that there are instances where a cases involving co-defendants have been recorded on the casework spreadsheets as one conviction, but when the underlying papers have been reviewed, it has transpired that only one of the individuals was convicted. For the purposes of these figures for the pre-PCDE numbers, if a conviction is recorded on the spreadsheets for a co-defendant case, it is presumed that all individuals were convicted.