

Hathaways The Law Firm Limited
18/19 Regent Terrace, Gateshead , NE8 1LU
Recognised body
598278

[Fined Date: 26 April 2024](#)

Decision - Fined

Outcome: Fine

Outcome date: 26 April 2024

Published date: 23 May 2024

Firm details

No detail provided:

Outcome details

This outcome was reached by SRA decision.

Decision details

On the 29 November 2023 we had decided the firm, Hathaways The Law Firm Limited, had breached paragraph 3.8 (a) of the Code of Conduct for Firms, and we directed the firm to pay a fixed penalty of £750 in accordance with Rule 3.1 (h) of the Regulatory and Disciplinary Procedure Rules (RDPRs) and our costs of £150 for investigating this matter.

As the firm continued to fail to comply with 3.8 (a) of the Code of Conduct for Firms, on 21 March 2024, we made a further decision to issue a Fixed Fee Penalty of £1,500.

Our authorisation department have confirmed that the firm have still not submitted the COLP and COFA applications therefore the firm remains non-compliant.

Reasons/basis

Hathaways The Law Firm Limited is a recognised body whose office is at 18/19 Regent Terrace, GATESHEAD, NE8 1LU.

Firms must at all times have in place a compliance officer for legal practice (COLP) and a compliance officer for finance and administration

(COFA).

A firm must designate a person as its COLP and a person as its COFA and the SRA must approve that person before they commence their role. The COLP and COFA of a firm have specific responsibility for ensuring a firm, its managers and employees comply with the SRA's regulatory requirements.

They are also responsible for recording any breaches and reporting those to the SRA, where necessary. A firm must promptly notify the SRA if it becomes aware of any material changes to information previously provided to the SRA, by it or on its behalf, including to its compliance officers.

Hathaways The Law Firm Limited failed to: promptly notify the SRA of a material change to the information it had previously provided to the SRA about its COFA in breach of paragraph 3.8(a) of the Code of Conduct for Firms. The firm have failed to remedy this breach after being given notice and reasonable time in which to do so.

[Fined Date: 3 January 2024](#)

Decision - Fined

Outcome: Fine

Outcome date: 3 January 2024

Published date: 11 January 2024

Firm details

No detail provided:

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

Hathaways The Law Firm Limited was directed to pay a fixed financial penalty of £750 and costs of £150.

Hathaways The Law Firm Limited is a recognised body whose office is at 18/19 Regent Terrace, Gateshead, NE8 1LU.

Firms must at all times have in place a compliance officer for legal practice (COLP) and a compliance officer for finance and administration (COFA).

A firm must designate a person as its COLP and a person as its COFA and the SRA must approve that person before they commence their role.

The COLP and COFA of a firm have specific responsibility for ensuring a firm, its managers and employees comply with the SRA's regulatory requirements. They are also responsible for recording any breaches and reporting those to the SRA, where necessary.

A firm must promptly notify the SRA if it becomes aware of any material changes to information previously provided to the SRA, by it or on its behalf, including to its compliance officers.

Hathaways The Law Firm Limited failed to:

- promptly notify the SRA of a material change to the information it had previously provided to the SRA about its COFA

in breach of paragraph 3.8(a) of the Code of Conduct for Firms.

The firm failed to remedy this breach after being given notice and reasonable time in which to do so.

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