

# Hathaways The Law Firm Limited

18/19 Regent Terrace, Gateshead ,  
NE8 1LU

Recognised body  
598278

*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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