

Amjad Hussain

Lawyer manager

653796

Employee-related decision Date: 1 October 2021

Decision - Employee-related decision

Outcome: Control of non-qualified staff (Section 43 / Section 99 order)

Outcome date: 1 October 2021

Published date: 9 November 2021

Firm details

Firm or organisation at date of publication and at time of matters giving rise to outcome

Name: Saffron Solicitors Limited

Address(es): Castle Cavendish Works, Dorking Road, Nottingham NG7 5PN

Firm ID: 550401

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

Mr Amjad Hussain is an owner, manager, Head of Legal Practice and Head of Finance and Administration of the licensed body, Saffron Solicitors Limited, whose head office is now at Castle Cavendish Works, Dorking Road, Nottingham NG7 5PN. The head office at the time of the events was at The CIBA Building, 146 Hagley Road, Edgbaston, Birmingham B16 9NX.

The following findings were made against him:

1. Mr Hussain failed to ensure that client information was kept confidential when 242 wills and the names and addresses of over 11,000 clients were removed from the firm and not properly secured. In doing so he breached Principles 4, 6 and 10 of the 2011 Principles and failed to achieve Outcome 4.1 and 7.5 of the SRA Code of Conduct 2011.
2. Mr Hussain failed to ensure all the firm's dealings with client money were properly recorded. He breached Rule 29.2(a) of

the Accounts Rules 2011 and Rule 8.1(c) of the Accounts Rules 2019.

3. Mr Hussain failed to ensure that compliant client account reconciliations were undertaken. He breached Rule 29.12 of the Accounts Rules 2011 and Rule 8.3 of the Accounts Rules
4. As the HOLP and HOFA, Mr Hussain failed to identify and report as soon as reasonably practicable, promptly or at all material breaches and in doing so he has failed to achieve Outcome 10.4 of the Code of Conduct 2011; breached Rules 8.5(c) and 8.5(e) of the SRA Authorisation Rules 2011 and Paragraphs 3.9, 3.10, 9.1(d) and 9.2(b) of the Code of Conduct for Firms.
5. Mr Hussain has failed as a manager, HOLP and HOFA, to run the firm with proper or effective governance structures, systems and controls and to ensure compliance with the SRA's regulatory arrangements which were in force at the relevant time and in doing so he has breached Principles 6 and 8 of the 2011 Principles and Principle 2 of the 2019 Principles. He has also failed to achieve Outcome 7.2 of the Code of Conduct 2011 and breached paragraph 2.1 of the Code of Conduct for Firms 2019.

SRA Principle 4 requires Mr Hussain to act in the best interests of each client.

SRA Principles 6 and 2 require Mr Hussain to behave in a way that maintains the public's trust and confidence in him and the legal profession.

SRA Principle 8 requires Mr Hussain to run his business or carry out his role in the business effectively and in accordance with proper governance and sound financial and risk management principles.

SRA Principle 10 requires Mr Hussain to safeguard client assets.

Rule 29.2(a) and Rule 8.1(c) of the SRA Accounts Rules requires Mr Hussain to record all dealings with client money.

Rule 29.12 and Rule 8.3 of the SRA Accounts Rules requires Mr Hussain to undertake client account reconciliations every 5 weeks.

Outcome 4.1 of SRA Code of Conduct requires Mr Hussain to keep client information confidential.

Outcome 7.5 of SRA Code of Conduct requires Mr Hussain to comply with his legal obligations.

Outcome 10.4 of the Code of Conduct 2011 requires Mr Hussain to report serious misconduct to the SRA.

Rules 8.5 (c) and 8.5(e) of the SRA Authorisation Rules requires Mr Hussain to ensure compliance with SRA rules and regulations, statutory obligations and record failures and report failures.

Paragraph 3.9 of the Code of Conduct for Firms requires Mr Hussain to report matters which he reasonably believes are a serious breach of the rules.

Paragraph 3.10 of the Code of Conduct for Firms requires Mr Hussain to report matters which he thinks should be brought to the attention of the SRA.

Paragraph 9.1(d) of the Code of Conduct for Firms requires Mr Hussain to report promptly any fact or matter which he believes is serious.

Paragraph 9.2(b) of the Code of Conduct for Firms requires Mr Hussain to report matters which he thinks should be brought to the attention of the SRA.

Mr Hussain was made subject to a disqualification order pursuant to section 99 of the Legal Services Act 2007. This order prevents him from holding any of the following roles in a licensed body:

- Manager
- Head of Legal Practice.
- Head of Finance and Administration.

Mr Hussain was also ordered to pay the SRA's costs of £600 in investigating this matter.

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