

Siu Yung Alan Ma

Solicitor

303548

Control of practice Date: 10 November 2023

Decision - Control of practice

Outcome: Condition

Outcome date: 10 November 2023

Published date: 15 January 2024

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Maxwell Alves & Maxwell Alves Limited

Address(es): 128 Aldersgate Street Suite 127 LONDON EC1A 4AE

Firm ID: 570838 & 627754

Outcome details

This outcome was reached by SRA decision.

Decision details

Siu Yung Alan Ma's practising certificate for 2023 / 2024 is subject to the following conditions:

1. Siu Ma shall not act as a sole manager or sole owner of an authorised body.
2. Siu Ma may not act as a compliance officer for legal practice (COLP) or compliance officer for finance and administration (COFA) for any authorised body.
3. Siu Ma may not practise on his own account under Regulation 10.2(a) or (b) of the SRA Authorisation of Individuals Regulations.
4. Siu Ma must not act as a signatory to any client or office account, or have the power to authorise electronic transfers from any client or office account.

In these conditions the terms are as defined in the SRA Glossary.

Control of practice Date: 13 March 2023

Decision - Control of practice

Outcome: Condition

Outcome date: 13 March 2023

Published date: 14 April 2023

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Ince Gordon Dadds LLP

Address(es): Aldgate Tower, 2 Leman Street, London E1 8QN

Firm ID: 596729

Outcome details

This outcome was reached by SRA decision.

Decision details

Siu Ma's practising certificate for 2023/2023 has been granted subject to the following conditions:

- They shall not act as a sole manager or sole owner of an authorised body.
- They may not act as a compliance officer for legal practice (COLP) or compliance officer for finance and administration (COFA) for any authorised body.
- They may not practise on their own account under Regulation 10.2(a) or (b) of the SRA Authorisation of Individuals Regulations.
- They must not act as a signatory to any client or office account, or have the power to authorise electronic transfers from any client or off ice account.

Reasons/basis

The above conditions are necessary in the public interest and reasonable and proportionate having regard to the purposes set out in regulation 7 of the SRA Authorisation of Individuals Regulations, and the regulatory objectives and principles governing regulatory activities as contained in section 28 of the Legal Services Act 2007.

Control of practice Date: 10 May 2022

Decision - Control of practice

Outcome: Condition

Outcome date: 10 May 2022

Published date: 17 June 2022

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Maxwell Alves Limited

Address(es): 128 Aldersgate Street, Suite 127, London, EC1A 4AE

Firm ID: 627754

Outcome details

This outcome was reached by SRA decision.

Decision details

Siu Yung Alan Ma's practising certificate for 2021/2022 is subject to the following conditions:

1. Dr Ma shall not act as a sole manager or sole owner of an authorised body.
2. Dr Ma may not act as a compliance officer for legal practice (COLP) or compliance officer for finance and administration (COFA) for any authorised body.
3. Dr Ma may not practise on his own account under Regulation 10.2(a) or (b) of the SRA Authorisation of Individuals Regulations.
4. Dr Ma must not act as a signatory to any client or office account, or have the power to authorise electronic transfers from any client or office account.

In these conditions the terms are as defined in the SRA Glossary.

Reasons/basis

The above conditions are necessary in the public interest and reasonable and proportionate having regard to the purposes set out in Regulation 7 of the SRA Authorisation of Individuals Regulations and the regulatory objectives and principles governing regulatory activities as contained in section 28 of the Legal Services Act 2007.

Prosecution Date: 9 December 2021

Decision - Prosecution

Outcome: Solicitors Disciplinary Tribunal order

Outcome date: 9 December 2021

Published date: 15 December 2021

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Maxwell Alves Limited

Address(es): 128 Aldersgate Street, Suite 127, London EC1A 4AE

Firm ID: 627754

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

Outcome of SDT Hearing

This notification relates to a Decision to prosecute before the Solicitors Disciplinary Tribunal. This is an independent Tribunal which reaches its own decision after considering all the evidence, including any evidence put forward by the Respondent. The Tribunal had certified that there was a case to answer.

On 9 December 2021, the SDT considered and approved an Agreed Outcome.

Mr. Ma was fined £7,500 and be subject to the following conditions imposed by the Tribunal for an indefinite period to commence on 8 December 2021:

He may not:

1. Practise as a sole practitioner or sole manager or sole owner of an authorised or recognised body;
2. Be a Compliance Officer for Legal Practice or a Compliance Officer for Finance and Administration.

The SDT judgment will be available at www.solicitorstribunal.org.uk

[<http://www.solicitorstribunal.org.uk>]

Control of practice Date: 3 August 2021

Decision - Control of practice

Outcome: Condition

Outcome date: 3 August 2021

Published date: 13 September 2021

Firm details

Firm or organisation at date of publication

Name: Maxwell Alves & Maxwell Alves Limited

Address(es): 128 Aldersgate Street, Suite 127, London EC1A 4AE

Firm ID: 570838 & 627754

Outcome details

This outcome was reached by SRA decision.

Decision details

Siu Yung Alan Ma's practising certificate for 2020/2021 is subject to the following conditions:

1. Dr Ma shall not act as a sole manager or sole owner of an authorised body.
2. Dr Ma may not act as a compliance officer for legal practice (COLP) or compliance officer for finance and administration (COFA) for any authorised body.
3. Dr Ma may not practise on his own account under Regulation 10.2(a) or (b) of the SRA Authorisation of Individuals Regulations.
4. Dr Ma does not hold, receive, or have access to client money, or act as a signatory to any client or office account, or have the power to authorise electronic transfers from any client or office account.

In these conditions the terms are as defined in the SRA Glossary.

Reasons/basis

The above conditions are necessary in the public interest and reasonable and proportionate having regard to the purposes set out in Regulation 7 of the SRA Authorisation of Individuals Regulations and the regulatory objectives and principles governing regulatory activities as contained in section 28 of the Legal Services Act 2007.

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