

Sheeba Eeswaramoorthy

Solicitor

197802

Fined Date: 28 October 2021

Decision - Fined

Outcome: Fine

Outcome date: 28 October 2021

Published date: 6 December 2021

Firm details

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

Name: Supreme Law

Address(es): 37 High Street Pelsall Walsall WS3 4LX England

Firm ID: 384764

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

Sheeba Eeswaramoorthy is a solicitor. She is a partner and Compliance Officer for Finance and Administration (COFA) at Supreme Law Solicitors, a recognised body, whose main office is at 37 High Street, Pelsall, Walsall, West Midlands WC3 4LX.

It was found that:

- a. Ms Eeswaramoorthy caused or permitted a client account cash shortage in the sum of £21,553.12 to exist as at 31 October 2019. In doing so, Ms Eeswaramoorthy breached Rule 20.9 of the SRA Accounts Rules 2011 (the Accounts Rules) and Principles 6 and 10 of the SRA Principles 2011 (the Principles).
- b. Ms Eeswaramoorthy did not replace the cash shortage promptly upon discovery. In failing to do so, Ms Eeswaramoorthy breached Rule 7.1 of the Accounts Rules and Principles 6 and 10.

- c. Ms Eeswaramoorthy failed to keep accounting records for the firm properly written up. In failing to do so, Ms Eeswaramoorthy breached Rule 29.1 of the Accounts Rules.
- d. Ms Eeswaramoorthy failed to carry out client account bank reconciliations every five weeks. In failing to do so, Ms Eeswaramoorthy breached Rules 29.12 and 29.13 of the Accounts Rules.
- e. Ms Eeswaramoorthy failed in her duties as the COFA and as a manager to take reasonable steps to ensure that the firm and its managers complied with the obligations imposed upon them under the SRA Accounts Rules. In failing to do so, Ms Eeswaramoorthy breached Rule 8.5(e)(i)(A) of the SRA Authorisation Rules 2011, Principle 8 and Rule 6.1 of the Accounts Rules.
- f. Ms Eeswaramoorthy did not have effective systems and controls in place to achieve and comply with all the Principles, rules and outcomes and other requirements of the SRA Handbook. She did not identify, monitor and manage risks to compliance or take steps to address the issues identified. In failing to do so, Ms Eeswaramoorthy failed to achieve Outcomes 7.2 and 7.3 of the SRA Code of Conduct 2011.

SRA Principle 6 - this required Ms Eeswaramoorthy to behave in a way that maintains the trust the public places in her and in the provision of legal services.

SRA Principle 8 - this required Ms Eeswaramoorthy to run her business or carry out her role in the business effectively and in accordance with proper governance and sound financial and risk management principles.

SRA Principle 10 - this required Ms Eeswaramoorthy to protect client money and assets.

Ms Eeswaramoorthy was directed to pay a financial penalty of £1,400 and costs of £600.

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