

Catherine Thompson

Employee

7014082

[Employee-related decision Date: 15 May 2024](#)

Decision - Employee-related decision

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

Outcome date: 15 May 2024

Published date: 21 June 2024

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Ware & Kay Solicitors

Address(es): Sentinel House, Peasholme Green, YORK, YO1 7P

Firm ID: 611838

Outcome details

This outcome was reached by SRA decision.

Decision details

Summary of decision

The SRA has put restrictions on where and how Ms Thompson can work in an SRA regulated firm. It was found that:

Ms Thompson, who is not a solicitor, was involved in a legal practice and has occasioned or been a party to an act or default which involved such conduct on her part that it is undesirable for her to be involved in a legal practice in any of the ways described in the order below.

The facts of the case

Ms Thompson was employed by Ware & Kay Solicitors of 2 Market Street, Malton, North Yorkshire YO17 7AS as a conveyancing executive between June 2022 and August 2022, when her employment was terminated. The firm is a recognised body.

It was found that in July 2022, in the course of her employment, Ms Thompson drafted a letter to clients and backdated it, and forged clients' signatures on a contract and transfer deed.

In doing so, Ms Thompson acted dishonestly.

Decision on outcome

An order pursuant to section 43(2) of the Solicitors Act 1974 was imposed as Ms Thompson's conduct meant that it was undesirable for her to be involved in a legal practice without the SRA's prior approval. The order pursuant to section 43 was made with effect from the date of the letter or email notifying Ms Thompson of this decision.

Ms Thompson's conduct was serious because she sought to mislead the firm and conceal her failure to take necessary action on a file. In doing so she sought to progress a transaction on the clients' behalf using documents that had not been signed by them or with their authority.

Ms Thompson was also ordered to pay the SRA's costs of £600.

What our Section 43 order means

- i. no solicitor shall employ or remunerate her in connection with his/her practice as a solicitor;
- ii. no employee of a solicitor shall employ or remunerate her in connection with the solicitor's practice;
- iii. no recognised body shall employ or remunerate her;
- iv. no manager or employee of a recognised body shall employ or remunerate her in connection with the business of that body;
- v. no recognised body or manager or employee of such a body shall permit her to be a manager of the body; and
- vi. no recognised body or manager or employee of such a body shall permit her to have an interest in the body

except in accordance with the SRA's prior written permission

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