

Rizwana Majid

Solicitor

429685

[Fined Date: 5 June 2024](#)

Decision - Fined

Outcome: Fine

Outcome date: 5 June 2024

Published date: 9 July 2024

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: TPC Solicitors

Address(es): Universal Square, Devonshire Street North, Manchester, M12 6JH

Firm ID: 418422

Firm or organisation at date of publication

Name: TPC Legal Limited & Morgan Carter Solicitors Limited

Address(es): 6 Queensway, Manchester, M19 1QP. 121-123 Yorkshire Street, Oldham, OL1 3TQ.

Firm ID: 8001592 & 623472

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

Who does this disciplinary decision relate to?

Rizwana Majid is a solicitor. She was a manager and compliance officer at TPC Solicitors (the firm), a licensed body, which closed on 1 March 2023.

Miss Majid is now the sole director of TPC Legal Limited, which is located at 5 Queensway, Manchester, M19 1QP (a regulated body).

Short summary of decision

We have fined Miss Majid for professional misconduct arising from the firm's arrangement with a third-party introducer for personal injury claims.

Facts of the misconduct

It was found that:

Allegation One

On at least three matters, where clients were introduced to the firm by a third party, Miss Majid failed to ensure that the firm took into account its clients' attributes, needs and circumstances.

In doing so, Miss Majid breached paragraphs 4.2, 8.1 and 9.1 of the Code of Conduct for Firms 2019 and Principle 7 of the SRA Principles 2019.

Allegation Two

On at least three matters, where clients were introduced to the firm by a third party, Miss Majid failed to ensure that the firm's clients were able to make informed decisions about the services they needed and the options available to them.

In doing so, Miss Majid breached paragraph 8.6 of the Code of Conduct for Solicitors, RELs and RFLs 2019 and Principle 7 of the SRA Principles 2019.

Allegation Three

On at least three matters, where clients were introduced to the firm by a third party, Miss Majid, as COLP and manager of the firm, failed to ensure that the firm identified who it was acting for.

In doing so, Miss Majid breached paragraph 8.1 of the Code of Conduct for Solicitors, RELs and RFLs 2019.

Allegation Four

In circumstances where clients were introduced to the firm by a third party, Miss Majid is unable to satisfy the SRA that she ensured that clients were not being acquired in a way which would breach the SRA Standards and Regulations.

In doing so, Miss Majid breached paragraph 5.1(e) of the Code of Conduct for Solicitors, RELs and RFLs and Principle 7 of the SRA Principles 2019.

Decision on sanction

It was decided that a financial penalty was an appropriate and proportionate sanction.

This was because Miss Majid's conduct was serious by reference to the following factors in the SRA Enforcement Strategy:

- Any lesser sanction would not be appropriate.
- To send a signal to those we regulate more widely with the aim of preventing similar behaviour by others.
- Some public sanction is required to uphold public confidence in the delivery of legal services.

Aggravating factors included that this was a repeated and persistent breach of the regulations. The arrangement with the third-party introducer existed for more than six years and impacted a number of clients. Any remedial action was significantly delayed even after Miss Majid became responsible for compliance at the firm.

There were also mitigating factors, including Miss Majid's expression of remorse and some limited insight. Miss Majid had also terminated any agreement with the third party introducer concerned. There was no evidence that Miss Majid acted with a lack of integrity or dishonestly or that her actions were a deliberate attempt to circumvent the rules.

In view of the above, Miss Majid's conduct was placed in conduct band C which has a financial penalty bracket of between 16% and 49% of her gross annual income.

Her conduct was placed in the middle of the bracket at C3 (27% of gross annual income). A discount of 10% was applied to the penalty to take account of factors including Miss Majid's remediation and co-operation.

Miss Majid was directed to pay a financial penalty of £5,832 and ordered to pay costs of £600.

SRA Code of Conduct for Firms 2019

Paragraph 4.2 You ensure that the service you provide to clients is competent and delivered in a timely manner, and takes account of your client's attributes, needs and circumstances.

Paragraph 8.1 If you are a manager, you are responsible for compliance by your firm with this Code. This responsibility is joint and several if you share management responsibility with other managers of the firm.

Paragraph 9.1 If you are a COLP you must take all reasonable steps to:



- a. Ensure compliance with the terms and conditions of your firm's authorisation.
- b. Ensure compliance by your firm and its managers, employees or interest holders with the SRA's regulatory arrangements which apply to them.
- c. Ensure that your firm's managers and interest holders and those they employ or contract with do not cause or substantially contribute to a breach of the SRA's regulatory arrangements.
- d. Ensure that a prompt report is made to the SRA of any facts or matters that you reasonably believe are capable of amounting to a serious breach of the terms and conditions of your firm's authorisation, or the SRA's regulatory arrangements which apply to your firm, managers or employees.
- e. notwithstanding sub-paragraph (d), you ensure that the SRA is informed promptly of any facts or matters that you reasonably believe should be brought to its attention in order that it may investigate whether a serious breach of its regulatory arrangements has occurred or otherwise exercise its regulatory powers.

SRA Code of Conduct for Solicitors, RELs and RFLs

Paragraph 5.1(e) In respect of any referral of a client by you to another person, or of any third party who introduces business to you or with whom you share your fees you ensure that: any client referred by an introducer has not been acquired in a way which would breach the SRA's regulatory arrangements if the person acquiring the client were regulated by the SRA.

Paragraph 8.1 You identify who you are acting for in relation to any matter.

Paragraph 8.6 You give clients information in a way they can understand. You ensure they are in a position to make informed decisions about the services they need, how their matter will be handled and the options available to them

SRA Principles 2019

Principle 7 You act in the best interests of each client.

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