

DF Legal LLP
Avonside, 63 High Street, Tewkesbury , GL20 5BJ
Recognised body
420596

[Sanction Date: 15 November 2024](#)

Decision - Sanction

Outcome: Rebuke

Outcome date: 15 November 2024

Published date: 10 December 2024

Firm details

No detail provided:

Outcome details

This outcome was reached by SRA decision.

Decision details

It was agreed that we would:

1.1.1 Rebuke the firm.

1.1.2 Publish the rebuke.

1.1.3 Direct the firm to pay the sum of £1,350 in relation to the SRA's costs of investigating this matter.

Reasons/basis

Short summary of decision

We have issued the firm with a rebuke for failure to co-operate with the Legal Ombudsman's investigation of a client's complaint against the firm, and a failure to provide information requested by the SRA.

Facts of the misconduct

The firm did not answer a Legal Ombudsman request for documents and information made on 15 February 2023, until 7 September 2023. After writing to the firm six times chasing for the information with no

substantive response, in April 2023 the Legal Ombudsman submitted a misconduct referral to the SRA in respect of the firm's failure to co-operate with its investigation.

In May 2023 and on multiple subsequent occasions, the SRA wrote to the firm requesting an explanation as to why it had not provided the requested information to the Legal Ombudsman.

The requested information and documentation were only provided to the Legal Ombudsman on 7 September 2023, almost seven months after the initial request.

This was in response to correspondence from the SRA on 6 September 2023 stating that it would be applying its Enforcement Strategy to determine an appropriate outcome, given the firm's failure to comply with both the SRA's and the firm's own deadlines for providing the information.

The firm has to date not explained its failure to co-operate with the Legal Ombudsman and the SRA.

It was found that the firm:

- a. did not answer a Legal Ombudsman request for documents and information made on 15 February 2023 until 7 September 2023 and
- b. has not explained its failure to co-operate with the Legal Ombudsman and the SRA,

and in doing so, the firm breached paragraphs 3.2 and 3.3(a) of the Code of Conduct for Firms.

SRA Code of Conduct for Firms

Paragraph 3.2 You cooperate with the SRA, other regulators, ombudsmen and those bodies with a role overseeing and supervising the delivery of, or investigating concerns in relation to, legal services.

Paragraph 3.3 You respond promptly to the SRA and

- a. provide full and accurate explanations, information and documentation in response to any requests or requirements.

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