

Maxim Solicitors Limited
Unit 410-17 Sevenways Parade, Woodford Avenue,
Gants Hill, Ilford , IG2 6JX
Recognised body
629357

[Prosecution Date: 27 March 2024](#)

Decision - Prosecution

Outcome: Referral to Solicitors Disciplinary Tribunal

Outcome date: 27 March 2024

Published date: 2 April 2025

Firm details

Firm or organisation at time of matters giving rise to outcome

Name: Maxim Solicitors Limited

Address(es): Unit 410-17 Sevenways Parade, Woodford Avenue, Gants Hill, Ilford IG2 6JX

Firm ID: 629357

Outcome details

This outcome was reached by SRA decision.

Reasons/basis

This notification relates to a Decision to prosecute before the Solicitors Disciplinary Tribunal. This is an independent Tribunal which will reach its own decision after considering all the evidence, including any evidence put forward by the Respondent(s). The Tribunal has certified that there is a case to answer in respect of allegations which are or include that :-

1. Between 8 March 2017 and 26 October 2020, in respect of one or more of the client matters, the Firm allowed and/ or failed to prevent its client account being used to provide a banking facility and/or failed to ensure that client money was returned promptly.
2. The Firm has failed to, between 26 June 2017 and January 2020 have in place a documented assessment of the risks of money laundering and terrorist financing to which its business was subject



- (a firm-wide risk assessment) pursuant to Regulation 18(1) and 18(4) of the Money Laundering Regulations 2017 (MLR's).
3. The Firm has failed to, from 26 June 2017 onwards establish and maintain policies, controls, and procedures (PCPs) to mitigate and effectively manage the risks of money laundering and terrorist financing, identified in any risk assessment pursuant to Regulation 19(1)(a) of the MLRs 2017, and regularly review and update them pursuant to Regulation 19(1)(b) of the MLRs 2017.
 4. Between 26 June 2017 and January 2020, the Firm failed to have in place client and matter risk assessments to record its assessment of the level of risk arising in any particular case as required by Regulations 28(12) and 28(13) of the MLRs 2017.

The allegations are subject to a Hearing before the Solicitors Disciplinary Tribunal and are as yet unproven.

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