Breach Report Template

This template will allow the practice MLRO to report breaches to the Law Society of Scotland (LSS) AML team as required under the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (as amended) (“the regulations”).

**Legislation**
Under schedule 4 (12) of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (as amended) (“the regulations”) Legal Sector Supervisors must collect information regarding “the number of contraventions of these Regulations committed by supervised persons”.

**Guidance**
Guidance in relation to what regulatory breaches may be reportable can be found on the Legal Sector Affinity Group (LSAG) Guidance note found [here](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.lawscot.org.uk%2Fmedia%2F372545%2Flsag-breach-reporting-note.docx&wdOrigin=BROWSELINK).

**Purpose**
The information obtained is for the purposes of reviewing and assessing the extent and nature of any breaches, to enhance our risk-based approach to supervision and produce relevant educational materials to support solicitors fulfil their responsibilities under the regulations. Further information can be found on our [website](https://www.lawscot.org.uk/members/regulation-and-compliance/financial-compliance/anti-money-laundering/aml-registration-requirements-frequently-asked-questions/).

**How to Report**
To report a breach, please complete the following form and attach to an email to AML@Lawscot.org.uk using the subject line: **“AML Regulations Breach”**.
 **Data Protection**Please restrict personal data provided to that which is absolutely necessary to describe the breach. Follow up discussions through secure/encrypted channels will take place where necessary with a member of our AML team. This will provide you the opportunity to provide any further detail and information if required.

UK GDPR, Data Protection Act 2018. For information about how we use your personal data see our privacy policy at [Privacy policy | Law Society of Scotland (lawscot.org.uk)](https://www.lawscot.org.uk/website-terms-and-conditions/privacy-policy/).

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| 1. Practice and MLRO information
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| Practice Name |  |
| MLRO Name |  |
| Breach occurred between (dates) |  |

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| 1. Brief Description of breach
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| *Please do not include personal details at this stage, however it is useful to address the following points:* * *Is the breach limited to the actions of an individual or is it a practice wide issue?*
* *What regulations have been breached?*
* *What actions/circumstances have led to the breach?*
* *Have any remediation actions been taken following the breach being identified?*
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# Version control

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| Version number | Change made | Change made by | Date change made |
| 1.0 | Template refresh | Dale Trahms | 01/03/2023 |
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