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Section 1 - Introduction to the Survey

Title of Research Project: Complicit, Unwitting or Negligent: Examining the true impact of money laundering in the legal profession

I would like to invite you to take part in my research study. Before you decide I would like you to understand why the research is being done and what it would involve for you. Talk to others about the study if you wish. Ask us if there is anything that is not clear. This research forms part of a professional doctorate programme in Criminal Justice Studies

What is the purpose of the study?

The overall aim of this study is to examine the role the legal profession plays in facilitating money laundering following the findings in the UK Government's National Risk Assessments of Money Laundering and Terrorist Financing (NRA) published in October 2015 and in October 2017 which suggests the legal sector poses a high risk to money laundering. The NRA published in 2015 states that there are "known professional enablers" operating within the legal profession who are complicit in money laundering. There is the perception that lawyers facilitate financial crime but given the level of Solicitors Disciplinary Proceedings and criminal proceedings involving members of the legal profession, there are few lawyers that have been sentenced or struck off for committing money laundering, in comparison to the number of lawyers actually in practice. Professional negligence claims have arisen where lawyers were either unwittingly or negligent involved in facilitating money laundering and this area is likely to see a larger number of incidents rather than criminal or disciplinary proceedings.

This study will make a valuable contribution both academically and professionally, of the issues of money laundering in the legal profession and it will help to ascertain whether the risk of money laundering to the legal profession is a significant as identified in the NRAs. The research could

potentially assist with developing further preventative measures to minimise the exposure the regulators, the insurers and individual lawyers face from organised criminals using the legal profession to launder their ill-gotten gains. The research is timely and relevant given the recent mutual evaluation undertaken by the Financial Action Task Force in March 2018 and the enforcement of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 in June 2017.

Why have I been invited?

The reason that you have been invited to take part in the research study is because of your professional expertise in relation to anti-money laundering in the legal profession.

Do I have to take part?

There is no obligation to take part and it is entirely up to you to decide whether you would like to join the study.

What will happen to me if I take part?

All responses are entirely confidential and anonymous. All data collected will be held securely and password protected. The survey will take you around 30 minutes to complete. Please be advised that once you have submitted the survey the information you have provided cannot be withdrawn.

Please note that you must avoid disclosure of details and identifiers of alleged offences that have not been prosecuted. Disclosure of such will be reported to the appropriate professional and the data collection will have to be stopped.

Expenses and payments

The survey is free to complete and there is no cost to you apart from your time. No expense, payments or incentives are available.

Further information and contact details

You are welcome to see the results and findings once the research is complete. At completion and when the research findings are published you are welcome to express your feelings about the research, the researchers and your participation.

For any other queries, please contact the researcher in the first instance on the details given above. Thank you for taking the time to read this information regardless whether you decide to participate or not.

Section 2: Link to the Survey

<https://www.surveymonkey.co.uk/r/Moneylaunsurveyjo>