|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Breach Register** | | | | | | | | | |  | | | | | | | |
|  |  | |  | |  | |  | |  | | |  | |  | |  | |
| **Key to breach types**  SRA Principle (SP) SRA Code of Conduct (CO) SRA Accounts Rules (AR) Internal policy (IP)  Money Laundering Regulations (MR) Data protection regulations (GDPR) Financial Services Act (FS) Equality Act (EQ)  Health & Safety regulations (HS) Undertakings (UT) Other/unknown (OU) | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Date of breach** | | **Type of breach**  (see codes above) | | **Personnel/Department** | | **Nature of breach** | | | | | **Reported to SRA?** | | **Date reported** | | **Notes** | | **Closed**  **out** | |
| **Minor** | | **Serious** | | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |
|  | |  | |  | |  | |  | | |  | |  | |  | |  | |