

RFs12

2008 - 2009



Notification of intention to apply for a practising certificate

The Solicitors Regulation Authority (SRA) deals with all regulatory and disciplinary matters. We set, monitor and enforce standards for solicitors admitted in England and Wales.

Use this form to

- notify the SRA of your intention to apply for a practising certificate for the 2008/09 practising year
- notify the SRA that you do not want to renew your practising certificate for the 2008/09 practising year

For help completing this form, visit www.sra.org.uk/rfs12

Section 1 Personal details

Surname	<input type="text"/>	SRA number	<input type="text"/>
Forename(s)	<input type="text"/>	Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>
Address			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			
Postcode	<input type="text"/>	Contact telephone number	<input type="text"/>
		Email address	<input type="text"/>

Section 2 Practising certificate (PC)

2.1	Do you want to apply for a PC?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
2.2	If "Yes", and you do not currently hold a PC, when do you wish your PC to commence?	<input type="text"/> / <input type="text"/> / <input type="text"/>			
2.3	If "No", when did you cease to practise?	<input type="text"/> / <input type="text"/> / <input type="text"/>			
2.4	What is the replacement date on your most recent PC?	<input type="text"/> / <input type="text"/> / <input type="text"/>			
2.5	If you have conditions on your PC do you want us to remove them?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
If you have answered "Yes", please state why you want us to remove the condition(s) in the "Additional information" box in section 9.					

Section 3 Solicitors Act 1974, section 12 - the following paragraphs of section 12(1) apply:

Paragraph reference

Section 4 Applications made under section 12(1)(h) and (i).

This section must be completed by any solicitor who is an undischarged bankrupt or discharged bankrupt, or who has entered into a composition with his/her creditors, or a deed of arrangement for the benefit of his/her creditors (sections 12 (1)(h) and (i) of the Solicitors Act 1974).

Please continue in the "Additional information" box in section 9, if necessary.

4.1	What is the date of the composition, deed of arrangement or bankruptcy order? Please attach a copy.		<input type="text" value="/"/>	<input type="text" value="/"/>	<input type="text" value=""/>
4.2	What were your total liabilities at that date?		£	<input type="text"/>	
4.3	Were there any liabilities to clients? If "Yes", attach a schedule showing the liabilities to each individual client and the amount each has received on account of that liability.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
4.4	What dividend, if any, has been paid or is expected to be paid?		<input type="text"/>		
4.5	Were your financial difficulties attributable to your practice as a solicitor? If so, please give details.		<input type="text"/>		
<input type="text"/>					
If you have entered into a composition or deed, answer 4.6. If you have not, answer to 4.7.					
4.6	Have the terms of the composition or deed been fulfilled in every respect? (If "No", state why not and in what respects they have not been fulfilled.)		<input type="text"/>		

4.7 Have you been discharged? If "Yes", please attach your certificate of discharge. Yes No

4.8 Are you subject to a bankruptcy/restriction order? If "Yes", please explain why and attach a copy. Yes No

4.9 State any special circumstances we should consider in connection with your application. Please continue in the "Additional information" box in section 9 if necessary.

SECTION 5 Indemnity insurance

If the Solicitors' Indemnity Insurance Rules apply to you, complete section 5A or 5B. If the rules do not apply to you, complete section 5C.

Under the Solicitors' Indemnity Insurance Rules, solicitors who are "principals" in private practice are required to supply us with information relating to their insurance cover.

5A. If you are a "principal" as defined in the Solicitors' Indemnity Insurance Rules, and your firm has

- qualifying insurance under rule 4 of the Solicitors' Indemnity Insurance Rules or
- insurance under registered European lawyers' (RELs) home professional rules and has been granted partial exemption under Appendix 3.2 of the Solicitors' Indemnity Insurance Rules,

complete the following for the indemnity year 1 October 2008 to 30 September 2009.

Qualifying Insurer (not broker)

Policy number

Period of cover

/ /

to

/ /

Specify total amount of cover.

£

5B. If you are a "principal" as defined in the Solicitors' Indemnity Insurance Rules, and your firm has insurance under RELs' home professional rules and has been granted total exemption under Appendix 3.1 of the Solicitors' Indemnity Insurance Rules, complete the following for the indemnity year 1 October 2008 to 30 September 2009.

Insurer (not broker)

Policy number

Period of cover

/ /

to

/ /

5C. Please state why you are not required to hold indemnity insurance.

- I am an "employee"/ "appointed person" as defined in the Solicitors' Indemnity Insurance Rules, working only under the insurance cover of the firm(s) that employ me.
- I am not a "principal" in private practice and work only as an employee.

Please state any other reason for exemption below.

Failure to complete this section will **prevent** us issuing your practising certificate. If you do not know the insurer for the indemnity year 1 October 2008 to 30 September 2009, please contact your broker.

Section 6 Details of activities since admission or since holding your last practising certificate

If you do **not** hold a current practising certificate, complete the applicable sections regarding your employment and activities since the date on which you last held a practising certificate. If this is your first application for a practising certificate, please give details since admission.

If you currently hold a practising certificate, go to section 7.

6.1 Private practice in a firm with an office or offices in England and Wales

If you were engaged in private practice during this period, please complete the following questions.

Rule 20 of the Solicitors' Code of Conduct 2007 sets out what we regard as "practising" and the guidance to the rule discusses what may constitute being "held out".

- Were you a principal (as defined in the Solicitors' Indemnity Insurance Rules) or held out as a principal, verbally, or on a firm's notepaper, or in correspondence, or in any publicity, including any website information/biography? Yes No
- Were you held out as a solicitor or lawyer, verbally, or on a firm's notepaper, or in correspondence, or in any publicity, including any website information/biography? Yes No
- If "No", by what description were you held out?
- Did you take any oaths as a solicitor or depose to any oaths as a solicitor? Yes No
- Did you sign any legal aid forms (applications, claims for costs etc) which required a declaration that you held a practising certificate? Yes No
- Did you conduct litigation or appear in open court, a tribunal or before Inland Revenue Commissioners? Yes No
- Did you act in any conveyancing or probate matters? Yes No
- Were you employed in England and Wales in connection with the provision of any legal services? (Doing legal research on individual clients' cases is considered to be in connection with the provision of legal services.) Yes No

Provide a summary (which includes dates) of the work you have undertaken during this period in the "Additional information" box in section 9.

6.2 Employment in England and Wales by non-solicitor organisations

If you were employed by a non-solicitor organisation during this period, complete these questions. Rule 20 of the Solicitors' Code of Conduct 2007 sets out what we regard as "practising" and the guidance to the rule discusses what may constitute being "held out".

- Were you held out as a solicitor or lawyer, verbally, or on the organisation's notepaper, or in correspondence, or in any publicity, including any website information/biography? Yes No
- If "No", by what description were you held out?
- Did you do reserved work (other than at the direction and under the supervision of a fellow employee as provided in the Solicitors Act 1974)? Yes No
- Did you authorise the withdrawal of money from a client account under rule 23(1)(a) of the Solicitors' Accounts Rules 1998? Yes No
- Were you exempt from the need to hold a PC under section 88 of the Solicitors Act, or any other enactment? (If so, specify the enactment, your employment and why you claim exemption in the "Additional information" box, in section 9). Yes No

Provide a summary (which includes dates) of the work you have undertaken during this period in the "Additional information" box in section 9.

6.3 Solicitors overseas

If you were working from an office outside of England and Wales during this period, please complete these questions. Rule 20 of the Solicitors' Code of Conduct 2007 sets out what we regard as "practising" and the guidance to the rule discusses what may constitute being "held out".

- Were you entitled to practise as a lawyer of another jurisdiction (including holding a current practising certificate for that profession if required)? If "Yes", please state your professional title, when you obtained this qualification, and when you became entitled to practise under this title. Please use the "Additional information" box, in section 9. Yes No
- Were you a director or owner (as defined in Rule 24) of a body corporate that is a law firm, or a partner in a law firm? Yes No
- Were you held out as an English/Welsh solicitor or an English/Welsh lawyer verbally or on notepaper, or in correspondence, or in any publicity, including any website information/biography? Yes No
- If "No", by what description were you held out?
- Were you employed in connection with the provision of any legal services either in a law firm or in-house? Yes No

Provide a summary (which includes dates) of the work you have undertaken during this period in the "Additional information" box in section 9.

Section 7 Character and suitability to act as a solicitor

7.1	Since you were issued with your last practising certificate, have you been convicted of an offence in any court in the UK or elsewhere? If "Yes", attach a recent original PNC check (no older than 21 days) and your full statement of events in section 9.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
7.2	Since you were issued with your last practising certificate, have any County Court judgments been placed against you? If "Yes", attach a copy of the judgement(s) and your full statement of events in section 9.		<input type="checkbox"/>	No	<input type="checkbox"/>
7.3	Since you were issued with your last practising certificate, have you been under investigation for any matters or criticised, censured, suspended or the subject of any other disciplinary activity by a professional/regulatory body? If "Yes", attach documentation relating to the matter and your full statement of events in section 9.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
7.4	Are there any other matters (not already disclosed on this form) which may call into question your character and suitability to act as a solicitor? If "Yes", attach documentation relating to the matter and your full statement of events in section 9.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Section 8 Fees – a fee is payable **only** for applications made under section 12(1)(ee) of the Solicitors Act 1974.

My application is being made under s12(1)(ee) and I enclose a cheque for £200 made payable to The Law Society and crossed "account payee only".	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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Section 9 Additional information - Continue on a separate sheet if necessary. State the question number to which your information relates.

Section 10 Declaration – This declaration must be completed.

Indemnity Insurance – I certify that the firm(s) in which I am a principal has Indemnity insurance in place for the practising year 2008/09. Yes No n/a

If you are not a principal, please tick the “n/a” box.

I declare that the information supplied on this firm is correct.

Signature Date / /

Print name

Application checklist

To help us process your application, please check the following.

Relevant documentation has been attached.

The cheque, if applicable, is made payable to **The Law Society** and is signed, dated and attached securely.

Section 3 has been completed

The declaration is signed and dated.

Please return this form to:

Information Directorate
Solicitors Regulation Authority
Ipsley Court
Berrington Close
Redditch
Worcestershire
B98 0TD

OR: DX 19114 Redditch

If a £200 fee is enclosed, please return this form to:

Operations
The Law Society
Ipsley Court
Berrington Close
Redditch
Worcestershire
B98 0TD

OR: DX 19114 Redditch