

Completing the application form to renew your  
practising certificates and registrations in your  
organisations **RF1 2009/2010**

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# Introduction

## About the form

You can use the RF1 application to renew the practising certificates of all solicitors and registrations of any European and foreign lawyers within your organisation. All certificates and registrations are due for renewal on 31 October each year.

If you are a solicitor in private practice, please note that [section 1A of the Solicitors Act 1974](#) requires that any solicitor employed in private practice in England and Wales in connection with the provision of any legal services is required to hold a practising certificate.

All references (unless otherwise stated) mean the following:

- “the Code” means the [Solicitors’ Code of Conduct 2007](#)
- “the Recognised Bodies Regulations” means the [SRA Recognised Bodies Regulations 2009](#)
- “the Practising Regulations” means the [SRA Practising Regulations 2009](#)
- “the Accounts Rules” means the [Solicitors’ Accounts Rules 1998](#)

The amended rules and regulations are published at [www.sra.org.uk/tracker](http://www.sra.org.uk/tracker).

## How to use the form

Please answer all questions and complete all the relevant boxes. You may find it helpful to refer to the [glossary](#) at the end of these notes.

The form will be pre-printed with information we currently record about your firm’s solicitors, registered European lawyers (RELs) and registered foreign lawyers (RFLs). If any of this information is incorrect, put a line through it and write your amendment(s) clearly. If you make an error when completing the form, put a line through any deletions. Do not use liquid paper.

If you are providing any additional information in separate sheets or documents, provide a list of enclosures and mark each document clearly with the section of the form to which it relates.

Please note that we will not be able to process your application until we have received a completed application (with any relevant supporting documentation). This means an application that includes the completed form and appropriate fees.

If a solicitor, REL or RFL has left your organisation, use the additional information box to provide a leaving date and, if possible, a forwarding address.

## How to contact us

Throughout these notes, we may refer you to different departments within the Solicitors Regulation Authority (SRA) for assistance. The contact details for these departments are listed below.

## Contact centre

If you need any assistance completing this form, or if you have a query about continuing professional development (CPD), please contact us on

- 0870 606 2555,
- +44 (0)1527 504450, if you are calling from overseas, or
- [contactcentre@sra.org.uk](mailto:contactcentre@sra.org.uk)

Our lines are open 09.00 – 17.00, Monday to Friday. Calls may be monitored/recorded for training purposes.

## Professional Ethics

If you are not sure if you need to register, or if you are not sure if you need to pay the full fee, visit [www.sra.org.uk/solicitors/practising-certificates.page](http://www.sra.org.uk/solicitors/practising-certificates.page). If this does not deal with your enquiry, contact Professional Ethics on

- 0870 606 2577, or
- [professional.ethics@sra.org.uk](mailto:professional.ethics@sra.org.uk)

If you are calling from overseas please use +44 (0) 5127 504430. Lines are open 09.00 to 17.00 Monday to Friday. Professional Ethics calls are strictly confidential.

## Useful information

### Where to send the form

Please send your form and appropriate fee to:

SRA  
Operations Unit  
Ipsley Court  
Berrington Close  
Redditch  
B98 0TD

or DX 19114 Redditch

Alternatively, to pay by credit card or bank transfer, fax your renewal form and payment form to +44 (0)1527 519150.

**Any payment unaccompanied by an application form will be held for a maximum of 30 days before being returned to the sender.**

### Recognised bodies

To help us process your application, please return this form with your firm's RB form (recognised body renewal).

### Recognised sole practitioners

To help us process your application, please return this form with your application form RSP renewal (recognised sole practitioner renewal).

## How to pay

You can pay the full amount by cheque, postal order, bank transfer or credit card. There is a handling charge of 1.75% for Mastercard, Visa, Maestro, Delta or Electron payments. Diners Card and American Express are not accepted.

To pay by credit/debit card, complete the credit/debit authorisation form and return it with your application form.

You may pay by cash, at your own risk, but this is not recommended, and we will not be held responsible for monies not received.

## Recognised bodies and recognised sole practitioners

You can make one payment to include fees for this application and the application form RB renewal (if you are renewing your firm's recognition) or the application form RSP renewal (if you are a recognised sole practitioner renewing your authorisation).

If you choose to make one payment in respect of both application forms, please return both application forms together.

## Who to make the cheque payable to

Make your cheque payable to the **Law Society**, and put your SRA number on the back of the cheque (for your SRA number, see "Main office and contact" on section A 1.1 of the form).

All foreign cheques must be endorsed, i.e. signed and dated on the reverse by the drawer. It may take up to eight weeks for a foreign cheque to clear our account. Your application will not be considered "received" until the funds have cleared in our account. We do not accept postal orders drawn outside the United Kingdom.

## Receipt for the fee and form

We do not automatically issue receipts for application forms or fees.

## What to do if a solicitor does not want to renew his or her practising certificate

Indicate the reason(s) for not renewing the certificate—if necessary, on a separate sheet. For example, a solicitor might not need a practising certificate if he/she

- has retired,
- has stopped practising,
- is now a stipendiary magistrate or judge, or
- is on maternity leave or adoption leave.

We need written confirmation from the individual solicitor that he/she does not want a new certificate.

Please amend the details on the fees summary page and recalculate the fees required.

If your organisation employs solicitors who are on the roll but do not hold a practising certificate, write "non-practising – uncertificated" and provide an explanation on a separate sheet: for example, "Exempt from holding a practising certificate under section 88 of the Solicitors Act 1974" (e.g. civil servant) or "non-practising—employed to do public relations work only."

If you are not sure whether a solicitor needs a practising certificate, contact Professional Ethics.

Please note that if an assistant solicitor's name is shown on the firm's notepaper while she is on maternity leave, he/she must either hold a current practising certificate, or the notepaper must clearly show that she is not practising.

## What to do if there has been a major change to the practice—for example, a merger or amalgamation

If you are involved in a merger you can use the form to notify us of the changes. If necessary you can provide additional information on separate sheets and attach them to the form. If you need further assistance please [contact us](#).

## What to do if a solicitor's name has changed

Write the new name and the date the change became effective on a separate sheet for that solicitor. Attach a signed copy of proof—for example, a photocopy of their marriage certificate or a certified copy of a deed poll to the RF1 form.

## Refunds for practising certificates

There is no provision in the Solicitors Act 1974 for the revocation of a practising certificate or any refund of the fee.

## Who to include on the form

You must include details of all solicitors, RELs and RFLs in your organisation.

If your organisation is not paying for a solicitor's practising certificate (perhaps because he/she has more than one practice), you should check that they have applied on another form. If they have not applied please ask the individual to [contact us](#) for an individual application form (RF3).

If you add new solicitors, RELs or RFLs to the form, you must enter them under their main practising address. For definition of main practising address, see [glossary](#) of these notes.

Please check to see if any solicitor or REL in your organisation is now subject to Regulation 3.1 of the Practising Regulations (formerly section 12(1) of the Solicitors Act 1974).

## What to do if you need more information

In the first instance you should look at the additional information and guidance available on our website at [www.sra.org.uk/rf1](http://www.sra.org.uk/rf1).

If we know that Regulation 3.1 of the Practising Regulations applies when the form is produced, details will be printed in section 7 “Regulation 3”. For details of the categories, see Regulation 3.1 of the Practising Regulations.

If Regulation 3.1 applies to a solicitor or REL, an additional form REG3 must be completed before their practising certificate or registration can be issued. If you require a REG3 form, contact us or download the form at [www.sra.org.uk/reg3](http://www.sra.org.uk/reg3).

## **A Main office and contact**

### 1.1 Name and address

#### **Name of organisation**

The full name of the organisation should appear here.

#### **Type of organisation**

This should detail the [type of organisation](#). See [glossary](#) of these notes for a full list of organisation types.

#### **Organisation's SRA number**

This is the organisation's reference number. Please quote in any correspondence with us.

#### **Address details**

Check the main practice address and contact details, and make any necessary changes.

### 1.2 Practising certificate/registration renewal contact

We contact firms and organisations at various times throughout the year. Please name the most appropriate person in your organisation for us to contact if we have any queries relating to your form. We will use this name as a contact for sending next year's form.

## **B Head office solicitors**

### 2.1 Solicitors

Solicitors who are based at the head office are listed according to their status within the organisation.

- In a partnership, partners are listed first, followed by associate solicitors, assistants and consultants.
- In a limited liability partnership (LLP), members are listed first.

- In a company, directors are listed first.
- We list solicitors who do not hold a current practising certificate after those who do.

If any solicitor has been omitted from the form, enter his/her details in the "New solicitors" section for the office with which the solicitor is most closely associated (either section 4.1 or 5.6 of the form). Please ensure that you provide his/her exact start date (e.g. 10/03/2009).

### **SRA number**

Every solicitor has a unique SRA number, which should be quoted when contacting us.

### **Status**

A person's status in the organisation should be listed here. See glossary of these notes for the full list of statuses. Include any dates when changes to status took effect in "Additional information". Use a separate sheet if necessary.

### **Reduced practising certificate fee**

If a solicitor qualifies for a reduced practising certificate fee, please note this in "Additional information". If a reduced practising certificate fee applies, list the solicitors and their respective categories in section I.

### **Welsh language practising certificate**

Please tick if a solicitor wishes to receive their practising certificate in Welsh. Each Welsh practising certificate has an English translation on the reverse side.

### **Client money**

#### **From 31 March 2009 there is a new definition for "client money".**

For practice in England and Wales, "client money" is defined in rule 13 of the Solicitors' Accounts Rules 1998 as follows:

"All money held or received in the course of practice falls into one or other of the following categories:

- (a) 'client money' – money held or received for a client or as trustee, and all other money which is not office money; or
- (b) 'office money' – money which belongs to the solicitor or the practice."

For practice outside England and Wales, client money is defined in rule 24 of the Code as:

"...money you receive or hold for or on behalf of a client or trust".

#### **Client money or controlled trust money held before 31 March 2009**

In respect of the period before 31 March 2009 the questions relate to the holding of client money or controlled trust money as set out in the previous versions of the

Accounts Rules and rules 15.27 and 23.01 of the Code. These versions of the rules can be found at [www.sra.org.uk/tracker](http://www.sra.org.uk/tracker).

### **General information for this section**

Under the current rules (the Accounts Rules and rule 15.27 of the Code), applicable as from 31 March 2009, the questions in this section relate to the practising year 1 November 2008 to 31 October 2009 and

- all offices of a recognised body in England and Wales,
- all offices of a recognised sole practitioner's firm,
- offices of a "solicitor-controlled recognised body" (see rule 24 of the Code) outside England and Wales, except where the question specifies England and Wales,
- office outside the UK of a recognised body which is not a "solicitor-controlled recognised body" in respect of money held or received by a solicitor as a named trustee, and
- offices in Scotland or Northern Ireland of a recognised body which is neither a "solicitor-controlled recognised body" nor an "REL-controlled recognised body" in respect of money held or received by a solicitor or an REL as a named trustee.

Change the answer to any question if it is printed incorrectly on the form and include the date any changes became effective.

Change the relevant [fee calculation](#) where changing an answer means the Compensation Fund contribution payable is different. For example, if the solicitor is shown on the form as a partner but became a consultant before the beginning of the practising year 1 November 2008 to 31 October 2009 and has not held client money directly or indirectly during that practising year, you should change his/her Compensation Fund contribution on the fee calculation page.

### **Questions A1 to B2**

- Answer all four questions, even though some of them, at first sight, may appear to be covering the same ground.
- Change the answer to any question if it is printed incorrectly on the form.
- If you change the answer to A1 or A2, you may also need to change the fee calculation, because the Compensation Fund contribution for this solicitor may have changed.
- The answers to questions A1 to B2 should cover all office(s) of your organisation from which the solicitor's relevant practice is carried on, and any other organisation(s) through which the solicitor practises. For example:
  - a) If the question relates to practice in England and Wales and the solicitor is a partner, the answer should cover all English and Welsh offices of the partnership. If the solicitor is an employee, the answer should relate to the office at which the solicitor is based.

- b) If the question relates to practice anywhere in the world, and the solicitor is a member of an LLP or a director of a company, the answer should cover **all** offices of the LLP or company.
  - c) If the question relates to practice outside England and Wales and the solicitor is a partner in another law firm as well as being a partner in your firm, the answer should cover all offices of both firms which are outside England and Wales.
- The answers to questions A1 and A2 determine whether the solicitor must pay the higher rate of Compensation Fund contribution. The answers to questions B1 and B2 determine whether the solicitor must deliver an accountant's report.
  - When answering questions A1-B2, remember that the new definition of client money includes controlled trust money as of 31 March 2009—see [rule 13](#) of the Accounts Rules.

### Question A1

Did the solicitor directly hold or receive client money in the 12 months to 31 October 2009?

- The answer is "yes" if the solicitor held or received client money in relation to practice from an office either in, or outside of, England and Wales.
- If the money was held or received in relation to practice outside England and Wales the answer is "yes"—even if the solicitor is exempt from the overseas accounts provisions in respect of that money.
- A solicitor will always have held or received client money (whether or not the solicitor was a signatory to the client account) if
  - a) the solicitor was a partner, or was held out as a partner, in a partnership; and
  - b) the partnership held or received client money.

This does not apply if the practice was outside England and Wales and the partnership was an LLP formed under the law of a jurisdiction which gives the LLP a separate legal personality (for example, Jersey, California or Texas).

- If the solicitor was a partner, but became a consultant before the beginning of the practising year 1 November 2008 to 31 October 2009, the answer to question A1 is "no"—unless the solicitor held or received client money in a capacity other than as a partner in your firm.
- If a cheque was made out to a solicitor and was signed over to a client, beneficiary or employer, the solicitor "received" the money, even though it was not banked in the solicitor's name.

### Question A2

Did the solicitor hold or receive client money indirectly through an LLP or company in the 12 months to 31 October 2009?

- The answer is "yes" if the solicitor was a director, member or shareowner of
  - a) An English and Welsh LLP or company which held or received client money,
  - b) a solicitor-controlled LLP or company which held or received client money in respect of practice outside England and Wales,
  - c) an REL controlled LLP or company which held or received client money in respect of practice outside England and Wales, or
  - d) a body corporate which directly or indirectly owned the whole or any part of an LLP or company, which held or received client money in respect of practice outside England and Wales.

Rule 14.03(1)(b) and (c) of the Code states

“(b) A recognised body which is an LLP must be incorporated in England and Wales or in Scotland under the Limited Liability Partnerships Act 2000.

- (c) A company recognised body must be
  - (i) incorporated and registered in England and Wales or in Scotland under Part I of the Companies Act 1985,
  - (ii) incorporated in an Establishment Directive state and registered as an overseas company under Part I of the Companies Act 1985, or
  - (iii) incorporated and registered in an Establishment Directive state as a *societas Europaea*”.

The answer is "yes" even if the LLP or company is exempt from the overseas accounts provisions in respect of that money.

### **Question B1**

Is the solicitor required to deliver one or more accountant's reports in respect of practice in England and Wales in the 12 months to 31 October 2009?

- The answer is "yes"—if, in respect of practice in England and Wales in the 12 months to 31 October 2009, the solicitor
  - a) held or received client money,
  - b) operated a client's own account as signatory,
  - c) was a director of a company which held or received client money or controlled trust money, or
  - d) was a member of an LLP which held or received client money.
- A solicitor will always have held or received client money in respect of practice in England and Wales (whether or not the solicitor was a signatory to the client account) if

- a) the solicitor was a partner, or held out as a partner, in a partnership, and
- b) the partnership held or received client money in connection with the practice of its English or Welsh office(s).

**Please note that while "client money" now means both client money and controlled trust money, both terms have been set apart in the explanations below for clarity.**

- A solicitor may hold or receive controlled trust money in his or her capacity as a partner—for example, when a will or trust appoints "the partners" in a firm as the only executors or trustees.
- A solicitor may hold or receive client money or controlled trust money in a capacity other than as a partner—for example, when a will or trust appoints the solicitor by name as an executor or trustee.
- A solicitor who ceases to be a partner and becomes a consultant often remains a trustee of one or more controlled trusts and, thus, continues to hold controlled trust money.
- A client's own account means an account in the name of a client (not a solicitor's separate designated client account). A solicitor may be a signatory of a client's own account either under a power of attorney or, for example, as signatory for a company or charity.
- If the solicitor is required to deliver one or more accountant's reports in respect of practice in England and Wales, but not in respect of the practice of your firm, please answer "yes", but add a note "not through this firm". This is to make sure that the solicitor is not asked to send an accountant's report in respect of your firm. It would be helpful if you also give the name of the other firm.

## **Question B2**

Is the solicitor required to deliver one or more accountant's report(s) in respect of practice outside England and Wales in the 12 months to 31 October 2009?

- The general rule is that a solicitor is required to deliver one or more accountant's report(s) in respect of practice outside England and Wales if, in the 12 months to 31 October 2009, the solicitor held or received client money or controlled trust money either
  - a) directly (as an individual or partner), or
  - b) indirectly (through an LLP or company).
- A solicitor will have held or received money directly if, for example:
  - a) The solicitor held or received client money or controlled trust money as a recognised sole practitioner.
  - b) The solicitor was a partner, or was held out as a partner, in a partnership, and the partnership held or received client money. (This

will be the case whether or not the solicitor was a signatory to the client account.)

- c)** The solicitor held or received controlled trust money as a partner, where a will or trust appointed "the partners" in the firm as the only executors or trustees.
- d)** The solicitor held or received client money or controlled trust money as an individual, where a will or trust appointed the solicitor by name as an executor or trustee.
- e)** The solicitor received a cheque made out to the solicitor, which was signed over to a client, beneficiary or employer without being banked in the solicitor's name. (In this case the solicitor has received the money but has not held it.)

As an exception to the general rule in relation to partnerships, a solicitor does not have to deliver an accountant's report in respect of money held or received as a partner if:

- a)** a majority of the partners were lawyers of jurisdictions other than England and Wales, and
- b)** UK lawyers did not form the largest national group of lawyers in the partnership.

The solicitor is required to deliver an accountant's report(s) in respect of client money or controlled trust money which the solicitor held or received in some other capacity—for example, as a named trustee.

- A solicitor will have held or received money indirectly if:
  - a)** The solicitor was a member of an LLP, or a director of a company, incorporated in England and Wales, which held or received client money.
  - b)** The solicitor was a member of an LLP, or a director of a company, incorporated outside England and Wales and which held or received client money; provided that
    - (i) solicitors owned a controlling majority of the shares, if the recognised body was a company with shares;
    - (ii) solicitors constituted a controlling majority of the members, if the recognised body was an LLP or a company without shares.
  - c)** In relation to a body corporate, which was not a recognised body and which held or received client money, the solicitor was
    - (i) a director or shareowner, if the body corporate was a company with shares and solicitors owned a controlling majority of the shares;
    - (ii) a director or member, if the body corporate was a company without shares and solicitors constituted a controlling majority of the members; or

- (iii) a member if the body corporate was not a company and solicitors constituted a controlling majority of the members.
- d)** The solicitor was a partner in a non-UK LLP which held or received client money, provided that
- (i) the LLP was not a body corporate, but had separate legal identity (e.g. it was a Jersey, California or Texas LLP), and
  - (ii) solicitors constituted a controlling majority of the partners.
- e)** The solicitor was a director or shareowner of a company with shares, which was not a recognised body and in which solicitors owned a controlling majority of the shares, and
- (i) the solicitor held or received controlled trust money as trustee; and
  - (ii) the only other trustee(s) were director(s), shareowner(s) and/or employee(s) of the company.
- f)** The solicitor was a director or member of a company without shares, which was not a recognised body and in which solicitors constituted a controlling majority of the members, and
- (i) the solicitor held or received controlled trust money as trustee; and
  - (ii) the only other trustee(s) were director(s), member(s) and/or employee(s) of the company.
- g)** The solicitor was a member of a body corporate which was not a company or a recognised body, in which solicitors constituted a controlling majority of the members, and:
- (i) the solicitor held or received controlled trust money as trustee; and
  - (ii) the only other trustee(s) were member(s) and/or employee(s) of the body corporate.
- h)** The solicitor was a partner in a non-UK LLP, which was not a body corporate, but had separate legal identity (e.g. it was a Jersey, California or Texas LLP) in which solicitors constituted a controlling majority of the partners", and
- (i) the solicitor held or received controlled trust money as trustee; and
  - (ii) the only other trustee(s) were employee(s) of the LLP.

In respect of practice in Scotland or Northern Ireland, "solicitors owned a controlling majority" should be read as "solicitors and/or RELs owned a controlling majority"; and "solicitors constituted a controlling majority" should be read as "solicitors and/or RELs constituted a controlling majority".

## **Work categories**

The directory holds information on the types of work undertaken by solicitors. This information is on the online directory [Find a solicitor](#)—see [www.lawsociety.org.uk](http://www.lawsociety.org.uk). The form is pre-printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [work categories](#). Our records hold a maximum of six categories.

## **Languages**

The directory holds information on any language spoken by solicitors other than English. This information is on the online directory [Find a solicitor](#)—see [www.lawsociety.org.uk](http://www.lawsociety.org.uk). The form is pre-printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [languages](#). Our records hold a maximum of six languages.

## **Other legal qualifications and registrations**

If the solicitor is also a member of a legal profession of another jurisdiction, or a barrister of England and Wales, you should note the jurisdiction, the professional title and the date of admission to that profession.

If the solicitor is registered in another European state under the [Establishment Directive](#), you should give the jurisdiction and the date of initial registration.

# **C Head office details for RELs/ and RFLs**

## **3.1 Renewing REL's registration**

RELs will be listed according to their status within the organisation. In a partnership, partners are listed first followed by assistants, associates and consultants. In an LLP, members are listed first and in a company, directors are listed first.

If any REL has been omitted from the form, enter his/her details in the "new RELs" section for the office with which the REL is most closely associated (either section 4.2 or 5.7 of the form). Please ensure that you provide the exact start date (e.g. 10/03/2009).

### **SRA number**

Every REL has a unique SRA number, which should be quoted when contacting us.

### **Status**

A person's status in the organisation should be listed here. See [glossary](#) of these notes for a full list of statuses. Include any dates when changes to status took effect in "Additional information". Use a separate sheet if necessary.

### **Client money**

For guidance on completing this section please refer to [section 2.1 "client money"](#) of these notes.

Reference to a solicitor should be interpreted as reference to a REL, and references to practice as an REL should be interpreted as reference to the provision of legal services in the UK under, or in reliance upon, a REL's professional title.

### **Work categories**

The directory holds information on the types of work undertaken by RELs. The online directory is [Find a solicitor](#). The form is pre-printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [work categories](#). Our records hold a maximum of six categories.

### **Languages**

The directory holds information on languages (other than English) spoken by RELs. The online directory is [Find a solicitor](#). The form is pre-printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [languages](#). Our records hold a maximum of six languages.

### **Reduced registration fee**

If a REL qualifies for a reduced registration fee, please note this in "Additional information". If a reduced registration fee applies, list the RELs and their respective categories in section I.

### **Additional information**

Use this section to detail the effective dates of changes that have been made, for examples:

- Changes in positions in your organisation should be noted. If there is not enough space, use another sheet and attach it to the form.
- If an REL has moved permanently to another of your offices, give the details under "Additional information". Please provide the SRA number and name of the office to which he/she has moved and the exact date of the move. You do not need to include his/her details under the new office if this office is included in the same form.
- If an REL has left your organisation, please cross out their details and give the exact date they left, together with a forwarding address, if known. You should also cross out their fees from the fee calculation page.
- If admitted in another EU jurisdiction.

## **3.2 Renewing RFLs registration**

If any RFL has been omitted from the form you should enter his/her details to the "new RFLs" section for the office with which the RFL is most closely associated (either section 4.3 or 5.8). Please ensure you provide his or her exact start date (e.g. 10/03/2009).

## Client money

### From 31 March 2009 there is a new definition of “client money”.

For practice in England and Wales, “client money” is defined in rule 13 of the Solicitors’ Accounts Rules 1998 as follows:

“All money held or received in the course of practice falls into one or other of the following categories:

(c) ‘client money’ – money held or received for a client or as trustee, and all other money which is not office money; or

(d) ‘office money’ – money which belongs to the solicitor or the practice.”

For practice outside England and Wales, client money is defined in rule 24 of the Code as:

“...money you receive or hold for or on behalf of a client or trust”.

### Client money or controlled trust money held before 31 March 2009

In respect of the period before 31 March 2009 the questions relate to the holding of client money or controlled trust money as set out in the previous versions of the Solicitors Accounts Rules 1998 and rules 15.27 and 23.01 of the [Solicitors’ Code of Conduct 2007](#).

All the questions below relate to the practising year 1 November 2008 to 31 October 2009. They apply to all English and Welsh offices of

- a) any recognised body partnership in which the RFL is a partner; or
  - b) any recognised body company of which the RFL is a director; and
  - c) any recognised body LLP of which the RFL is a member, including recognised bodies which are not part of your own organisation.
- Change the answer to any question if it is printed incorrectly on the form.
  - Change the relevant fee calculation where changing an answer means the Compensation Fund contribution payable is different—for example, if an RFL partner who is shown on the form as practising mainly from an office in England and Wales went to work from an office outside England and Wales before the beginning of the practising year 2008/2009, you should change his/her Compensation Fund contribution on the fee calculation page.

### Questions A to D

- Answer all four questions, even though some of them may at first sight appear to be covering the same ground.
- Change the answer to any question if it is printed incorrectly on the form.

- If you change the answer to A, B or C, you may also need to change the fee calculation because the Compensation Fund contribution for this RFL may have changed.
- The answers to questions A, B and D should cover all office(s) of your organisation from which the RFL's relevant practice is carried on, and any other recognised body through which the RFL practises. For example:
  - a) If the RFL is a partner, the answer should cover all English and Welsh offices of the recognised body partnership.
  - b) If the RFL is a member of an LLP or a director of a company, the answer should cover all English and Welsh offices of the LLP or company.
  - c) If the RFL is a partner in another recognised body as well as being a partner in your firm, the answer should cover all English and Welsh offices of both recognised bodies.
- Questions A, B and D relate to the activities of all English and Welsh offices of
  - a) any recognised body partnership in which the RFL is a partner,
  - b) any recognised body company of which the RFL is a director, and
  - c) any recognised body LLP of which the RFL is a member; including recognised bodies which are not part of your own organisation.
- The answers to questions A, B and C determine whether the RFL must pay the higher rate of Compensation Fund contribution, a reduced rate or a nil contribution. The answer to question D determines whether or not the RFL must deliver an accountant's report.

### **Question A**

Was the RFL a partner in a recognised body partnership which held or received client money in respect of practice in England and Wales in the 12 months to 31 October 2009?

- The answer to question A is "yes" even if the RFL was only held out as a partner.
- If a cheque was made out to the RFL or to the recognised body partnership and was signed over to a client or beneficiary, then the answer to question A is "yes", because the money has been "received" by the recognised body partnership, even though it was not banked in the recognised body partnership's account.
- If money was held or received only in relation to an office or offices of the recognised body partnership outside England and Wales, the answer to question A is "no".
- If the RFL was a partner in the recognised body partnership but became a consultant before the beginning of the practising year 2008/2009, the answer

to question A is "no", unless the RFL was a partner in another recognised body partnership which held or received client money.

### **Question B**

Did the RFL indirectly hold or receive client money through an LLP or company in respect of its practice in England and Wales in the 12 months to 31 October 2009?

If the answer to question B is "yes", the RFL must pay a Compensation Fund contribution (which will be the full RFL contribution unless the answer to question C is "yes").

- The RFL will have held or received client money through an LLP or company if the RFL was a director, member or shareowner of:
  - a) an LLP or company which held or received client money in respect of practice in England and Wales; or
  - b) a body corporate which directly or indirectly owned the whole or any part of an LLP or company which held or received client money in respect of practice in England and Wales.

Rule 14.03(1)(b) and (c) of the Code states

“(b) A recognised body which is an LLP must be incorporated in England and Wales or in Scotland under the Limited Liability Partnerships Act 2000.

- (c) A company recognised body must be:
- (i) incorporated and registered in England and Wales or in Scotland under Part I of the Companies Act 1985;
  - (ii) incorporated in an Establishment Directive state and registered as an overseas company under Part I of the Companies Act 1985; or
  - (iii) incorporated and registered in an Establishment Directive state as a *societas Europaea*”.

### **Question C**

Did the RFL mainly practice from an office or offices outside England and Wales in the 12 months to 31 October 2009?

The answer to question C determines whether an RFL's Compensation Fund contribution (if payable) will be the full RFL contribution or the reduced RFL contribution.

The answer to question C is “yes” if the RFL spent more than half his/her time at an office or offices outside England and Wales.

### **Question D**

Is the RFL required to deliver one or more accountant's report(s) in respect of practice in England and Wales as a partner in a recognised body partnership, a

director of a recognised body company or a member of a recognised body LLP in the 12 months to 31 October 2009?

If you have answered "yes" to question A, the answer to question D is also "yes".

If you have answered "no" to question A, the answer to question D will not necessarily be the same.

- The answer to question D is "yes"—if, in respect of practice in England Wales in the 12 months to 31 October 2009, the RFL:
  - a) held or received client money as a partner in a recognised body partnership;
  - b) was a director of a recognised body company which held or received client money;
  - c) was a member of a recognised body LLP which held or received client money;
  - d) held or received client money as a director of a recognised body company or as a member of a recognised body LLP; or
  - e) operated a client's own account as signatory, as a partner in a recognised body partnership, a director of a recognised body company or a member of a recognised body LLP.

**Note that while “client money” now means both client money and controlled trust money, both terms have been set apart in the explanations below for clarity.**

- An RFL will always have held or received client money as a partner of a recognised body partnership (whether or not the RFL was a signatory to the client account) if the RFL was a partner, or was held out as a partner, in a recognised body partnership which held or received client money in connection with the practice of its English or Welsh office(s).
- A recognised body partnership has received money (but has not held it) where a cheque has been received and signed over to a client or beneficiary without being banked in the recognised body partnership's account.
- An RFL who ceases to be a partner and becomes a consultant may remain a trustee of one or more controlled trusts, and thus continues to hold controlled trust money.
- A client's own account means an account in the name of a client (not a recognised body's separate designated client account). An RFL may be a signatory of a client's own account, either under a power of attorney or, for example, as signatory for a company or charity.
- If the RFL is required to deliver one or more accountant's reports in respect of practice in England and Wales, but not in respect of the practice of your firm, please answer "yes", but add a note "not through this firm". This is to make sure that the RFL is not asked to send an accountant's report in respect of your firm. It would also be helpful if you give the name of the other firm.

## Work categories

The directory holds information on the types of work undertaken by RFLs. The online directory is [Find a solicitor](#). The form is printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [work categories](#). Our records hold a maximum of six categories.

## Languages

The directory holds information on languages (other than English) spoken by RFLs. The online directory is [Find a solicitor](#). The form is printed with details from our current records.

Please check the details and amend them if necessary, referring to our list of [languages](#). Our records hold a maximum of six languages.

## Reduced registration fee

If an RFL qualifies for a reduced registration fee, please note this in "Additional information". If a reduced registration fee applies, list the RFLs and their respective categories in section I.

## Additional information

Use this section to give full details of:

- any changes you need to make on the form about the RFL,
- any office or offices in England and Wales from which he/she has practised plus his/her main practising address if outside England and Wales,
- the date of any changes or the event reported, and

## D 4.1–3 Head office's new solicitors, RELs and RFLs

### 4.1–3 New solicitors, RELs, and RFLs

Section 4.1 must be completed for each new solicitor. The details for RELs and RFLs are in sections 4.2 and 4.3, respectively. Photocopy the relevant pages as many times as you need to before you complete them. Attach any additional pages you complete to the form.

Please check to see if any new solicitor or REL is subject to Regulation 3.1 of the Practising Regulations. Regulation 3.1 applies, an additional form (REG3) must be completed before their practising certificate/registration can be issued. The REG3 form should be returned to us six weeks before the individual wishes to apply for a practising certificate/registration.

Please check if any of the events listed in Regulation 3.1 of the Practising Regulations apply to any new RFLs. If Regulation 3.1 applies please declare this in section 7.3 of this form.

Use sections 4.1 to 4.3 for solicitors, RELs and RFLs whose details have not already been printed on the form. For example:

- solicitors, RELs or RFLs who have recently joined the organisation;
- solicitors who have been newly admitted and do not appear on this form can apply for renewal of their practising certificate on this form,
- RELs and RFLs who have been registered since this form was printed and want to use this form to renew their registration.

You do not need to complete section 4.1 to 4.3 for solicitors, RELs or RFLs you currently employ who have moved permanently from another office of the organisation to this office.

Only use this form to renew for the practising year 1 November 2009 to 31 October 2010. Newly admitted solicitors from 1 September 2009 to 31 October 2009 who are employed in the provision of legal services before 1 November 2009 are required to hold a practising certificate for the practising year ending 31 October 2009. Any newly admitted solicitor should have received a form AD1 for that period, which includes a practising certificate application. If they have not, contact us.

In any of these cases, you should give the solicitor's date of admission under section 4.1 "Additional information". Give the REL's and RFL's date of registration under section 4.2 and 4.3 "Additional information" respectively.

**Please ensure that you add the solicitor's, REL's or RFL's name, individual SRA number and fees to the fee calculation page.**

## **E Other branch office and new solicitors, RELs and RFLs**

### **5.1 Other branch office**

If your organisation has no branch office, this section will not be printed in your application form.

### **5.6–8 New solicitor, new RELs, and new RFLs**

Section 5.6 must be completed for each new solicitor. The details for RELs and RFLs are in sections 5.7 and 5.8, respectively. Photocopy the relevant pages as many times as you need to before you complete them. Attach any additional pages which you complete to the form.

Please check to see if any new solicitor or REL is subject to Regulation 3.1 of the Practising Regulations. If Regulation 3.1 applies, an additional form (REG3) must be completed before their practising certificate/registration can be issued. The REG3 form should be returned to us six weeks before the individual wishes to apply for a practising certificate/registration.

Please check if any of the events listed in Regulation 3.1 of the Practising Regulations apply to any new RFLs. If Regulation 3.1 applies please declare this in section 7.3 of this form.

Use sections 5.6 to 5.8 for solicitors, RELs and RFLs whose details have not already been printed on the form. For example:

- solicitors, RELs or RFLs who have recently joined the organisation;
- solicitors who have been newly admitted and do not appear on this form can apply for renewal of their practising certificate on this form; and
- RELs and RFLs who have been registered since this form was printed and want to use this form to renew their registration.

You do not need to complete section 5.6 to 5.8 for solicitors, RELs or RFLs you currently employ who have moved permanently from another office of the organisation to this office.

Only use this form to renew for the practising year 1 November 2009 to 31 October 2010. Newly admitted solicitors from 1 September 2009 to 31 October 2009 who are employed in the provision of legal services before 1 November 2009 are required to hold a practising certificate for the practising year ending 31 October 2009. Any newly admitted solicitor should have received a form AD1 for that period, which includes a practising certificate application. If they have not received this please call our contact centre.

In any of these cases, you should give the solicitor's date of admission under section 5.6 "Additional information". Give the REL's and RFL's date of registration under section 5.7 and 5.8 "Additional information" respectively.

**Please ensure that you add the solicitor's, REL's or RFL's name, individual SRA number and fees to the fee calculation page.**

## **F Other branch office, new solicitors, RELs and RFLs**

### **6.1 Name and address**

Section 6.1 must be completed when you are notifying us of a new branch office. For guidance, refer to rule 5.02 of the Code.

### **6.2–4 New solicitors, new RELs, new RFLs**

Section 6.2 must be completed for each new solicitor. The details for RELs and RFLs are in sections 6.3 and 6.4, respectively. Photocopy the relevant pages as many times as you need to before you complete them. Attach any additional pages you complete to the form.

Please check to see if any new solicitor or REL is subject to Regulation 3.1 of the Practising Regulations. If Regulation 3.1 applies, an additional form (REG3) must be completed before their practising certificate/registration can be issued. The REG3 form should be returned to us six weeks before the individual wishes to apply for a practising certificate/registration.

Please check if any of the events listed in Regulation 3.1 of the Practising Regulations apply to any new RFLs. If Regulation 3.1 applies please declare this in section 7.3 of this form.

Use sections 6.2 to 6.4 for solicitors, RELs and RFLs whose details have not already been printed on the form. For example:

- solicitors, RELs or RFLs who have recently joined the organisation;
- solicitors who have been newly admitted and do not appear on this form can apply for renewal of their practising certificate on this form; and
- RELs and RFLs who have been registered since this form was printed and want to use this form to renew their registration.

You do not need to complete section 6.2 to 6.4 for solicitors, RELs or RFLs whom you currently employ who have moved permanently from another office of the organisation to this office.

Only use this form to renew for the practising year 1 November 2009 to 31 October 2010. Newly admitted solicitors from 1 September 2009 to 31 October 2009 who are employed in the provision of legal services before 1 November 2009 are required to hold a practising certificate for the practising year ending 31 October 2009. Any newly admitted solicitor should have received a form AD1 for that period, which includes a practising certificate application. If they have not received this please call our contact centre.

In any of these cases, you should give the solicitor's date of admission under section 6.4 "Additional information" or the REL's and RFL's date of registration under section 6.5 and 6.6 "Additional information" respectively.

**Please ensure that you add the solicitor's, REL's or RFL's name, individual SRA number and fees to the fee calculation page.**

## **G Regulation 3**

### **7.1 Solicitors and RELs**

This section applies to solicitors and RELs who are applying for renewal of a practising certificate or registration who are subject to any of the events listed under Regulation 3 of the Practising Regulations.

This section contains information about any solicitor to whom Regulation 3 of the Practising Regulations applies, according to our records. Please check that the pre-printed information is correct and make any changes necessary.

If a solicitor or REL is subject to Regulation 3, he/she also needs to complete form REG3. Please note that until we have received and considered the REG3 application, the practising certificate or registration will not be granted.

If any of the paragraphs in Regulation 3.1, i.e. paragraphs (a) to (s) apply to any solicitors or RELs in your organisation then they are required to complete the REG3 form.

**If a solicitor or REL has not already received form REG3, please contact us immediately. If they are subject to Regulation 3, we require six weeks' notice of intention to apply for a practising certificate or registration.**

Practising Regulation 3.1 lists the following matters:

“3.1(a) [...] has been:

- (i) reprimanded, fined made the subject of disciplinary sanction or made the subject of an order under section 43 of the Solicitors Act 1974, ordered to pay costs or made the subject of a recommendation to the SRA to consider imposing a condition, by the Solicitors Disciplinary Tribunal, or struck off or suspended by the Court;
  - (ii) made the subject of an order under section 43 of the Solicitors Act 1974 by the Law Society or the SRA or rebuked or fined under section 44D of that Act by SRA;
  - (iii) made the subject of, or been a manager of a recognised body which has been the subject of, an intervention by the SRA; or
  - (iv) made the subject of a disciplinary sanction by, or refused registration with or authorisation by, another approved regulator, professional or regulatory tribunal, or regulatory authority, whether in England and Wales or elsewhere.
- (b) The SRA has requested an explanation in respect of a matter relating to his or her conduct and has notified him or her in writing that it does not regard his or her response, or lack of response, as satisfactory.
- (c) [...] has failed to deliver within the period allowed an accountant's report required by rules made under section 34 of the Solicitors Act 1974.
- (d) [...] his or her practising certificate or registration has been suspended and the suspension:
- (i) has come to an end;
  - (ii) was continuing when his or her last practising certificate or previous registration expired or was revoked; or
  - (iii) is continuing.
- (e) has been suspended from practice (or suspended from practice in the UK, if the applicant is a European lawyer), and the suspension has come to an end.
- (f) [...] his or her last practising certificate or previous registration expired or was revoked whilst subject to a condition.
- (g) [...] his or her practising certificate or registration is currently subject to a condition.
- (h) [...] his or her right to practise as a lawyer of another jurisdiction or as a lawyer of England and Wales (other than as a solicitor) is subject to a condition or restriction.
- (i) [...] has been restored to the roll or register, having previously been struck off.
- (j) [...] is an undischarged bankrupt.
- (k) [...]
- (i) has been adjudged bankrupt and discharged;

- (ii) has entered into an individual voluntary arrangement or a partnership voluntary arrangement under the Insolvency Act 1986;
  - (iii) has been a manager of a recognised body which has entered into a voluntary arrangement under the Insolvency Act 1986;
  - (iv) has been a director of a company or a member of an LLP which has been the subject of a winding up order, an administration order or administrative receivership; or has entered into a voluntary arrangement under the Insolvency Act 1986; or has been voluntarily wound up in circumstances of insolvency.
- (l) [...] he or she lacks capacity (within the meaning of the Mental Capacity Act 2005) and powers under sections 15 to 20 or section 48 of that Act are exercisable in relation to him or her.
- (m) [...] has been committed to prison in civil or criminal proceedings and:
- (i) has been released; or
  - (ii) has not been released.
- (n) [...] has been made subject to a judgment which involves the payment of money, other than one:
- (i) which is limited to the payment of costs; or
  - (ii) in respect of which the applicant is entitled to indemnity or relief from another person as to the whole sum; or
  - (iii) which the applicant has paid, and supplied evidence of payment to the SRA.
- (o) [...] is currently charged with an indictable offence.
- (p) [...] has been convicted of an indictable offence or any offence under the Solicitors Act 1974, the Financial Services and Markets Act 2000, the Immigration and Asylum Act 1999 or the Compensation Act 2006.
- (q) [...] has been disqualified from being a company director.
- (r) [...] has been removed from the office of charity trustee or trustee for a charity by an order within the terms of section 72(1)(d) of the Charities Act 1993.
- (s) [...] has been the subject in another jurisdiction of any circumstance equivalent to those listed in (j) to (r).”

## 7.2 Notice that Regulation 3 applies

You should give details in this section of any solicitor or REL to whom Regulation 3.1 applies, if these details are not printed in section 7.1. Firms should check with solicitors and RELs if Regulation 3.1 applies to them before filling this in. For example, a solicitor or REL may

- have an outstanding money judgement against him/her, or
- have entered into a composition with his/her creditors.

If you are providing details of a solicitor and/or REL who has become subject to Regulation 3.1 for the first time, you must tell us about any matters listed in Regulation 3.1 These solicitors and/or RELs should contact us to obtain the REG3

form, or they can download the REG3 form at [www.sra.org.uk/reg3](http://www.sra.org.uk/reg3). When completed, the REG3 form should be returned to:

Operations  
Solicitors Regulation Authority  
Ipsley Court  
Berrington Close  
Redditch  
B98 0TD  
or DX 19114 Redditch

### 7.3 RFLs applying for renewal of their registration where any of the events listed in Regulation 3 of the SRA Practising Regulations apply

You should give details in this section of any RFL where any of the events listed in Regulation 3.1 of the Practising Regulations apply to them. Firms should check with RFLs if Regulation 3.1 applies to them before filling this in. For example, a RFL may

- have an outstanding money judgement against him/her, or
- have entered into a composition with his/her creditors.

If you are providing details of a RFL where any of the events listed in Regulation 3.1 apply for the first time, you must tell us about any matters listed in Regulation 3.1.

RFLs are required to provide this information under Regulation 6.2 of the Practising Regulations.

“6.2 Without prejudice to the powers of the SRA under paragraph 2, 12 or 13 of Schedule 14 to the Courts and Legal Services Act 1990, the SRA may when granting an application under regulation 2.1(c) or at any time’s during the currency of a registration, impose such conditions on a foreign lawyer’s registration as it sees fit:

(a) If any event listed in Regulation 3.1 applies to the individual concerned”

## H Continuing professional development (CPD)

This section should contain details of any solicitors and RELs who have not met their CPD requirement for any complete CPD period up to **31 October 2008**.

The CPD year runs from 1 November to 31 October. The question on the form refers to the completed CPD period up to **31 October 2008**.

The CPD requirements are as follows:

Newly admitted solicitors and RELs **1 hour** for each complete month worked from the date of admission or registration to 31 October (Solicitors admitted on 1 November go straight into their first CPD year.)

All other solicitors and RELs **16 hours per one-year period**

All solicitors admitted to the roll and RELs must comply with the requirement of the CPD scheme.

If you have not been in legal practice or employment for a period of time and chose to suspend the CPD requirements, and/or you are unsure of your current requirements or how you should answer this question, [contact us](#).

For full guidance on CPD requirements, visit [www.cpd.sra.org.uk](http://www.cpd.sra.org.uk). Alternatively, please contact us.

## **I Reduced practising certificate/registration fees for solicitors/RELs/RFLs**

Include details of any solicitors, RELs, and RFLs who are eligible for reduced practising certificate/registration fees. The Compensation Fund contribution remains unchanged. Reduced fees are available to solicitors, RELs and RFLs in the categories listed below:

**Category A** Solicitors/RELs who are Crown Prosecutors in the Crown Prosecution Service. Please note this category is not applicable to RFLs.

**Category B** Any solicitor/REL/RFL who has previously held a practising certificate/registration and whose gross fees or gross income from the provision of legal services has not exceeded £20,000 during the 12-month period prior to the date of this application.

**Category C** Any solicitor/REL/RFL applying for their first practising certificate/registration to start on or after 1 November 2009 (If you are a solicitor admitted, or REL/RFL who first registered, at any time between 1 November 2008 and 31 October 2009 and are employed in private practice in the provision of legal services before 1 November 2009, you are required to hold a practising certificate/registration for the practising year ending 31 October 2009.)

**Category D** Any solicitor/REL/RFL who is on statutory maternity leave or a period of leave equivalent to statutory maternity leave at the time of applying for renewal of their practising certificate/registration.

**Category E** Any solicitor/REL/RFL whose maternity leave or period of leave equivalent to statutory maternity leave started and ended within the practising year 1 November 2008 to 31 October 2009.

A "period of leave equivalent to statutory maternity leave" is a period of absence or leave which, if the individual had been an employee, would have been taken as statutory maternity leave.

If at any time during the 12-month period an individual was practising both as a solicitor and as a lawyer of another jurisdiction, all their fees or income received as a

lawyer must be taken into account. If the total of the gross fees or gross income exceeds £20,000, they do not qualify for a reduced practising certificate fee.

If at any time during the 12-month period an REL or RFL practised as an REL or RFL, respectively, and as a lawyer of another jurisdiction, all their fees or income received as a lawyer must be taken into account. If the total of the gross fees or gross income exceeds £20,000, they do not qualify for a reduced registration fee.

For the fees payable by solicitors/RELS/RFLs eligible for a reduced practising certificate/registration fee, see our fee table.

## J Solicitors' Indemnity Insurance Rules

**The Solicitors' Indemnity Insurance Rules apply to recognised sole practitioners, and all recognised bodies.**

The Solicitors' Indemnity Insurance Rules do **not** apply to:

- solicitors or RELs who work in house, for example in local government, commerce or industry, and
- solicitors or RELs whose practice consists only of providing services without remuneration for friends, relatives, companies wholly owned by the practitioners family or registered charities or administering oaths.

You are required to submit details of your qualifying insurer's name, the policy number and period of cover. The list of qualifying insurers can be found on the website [www.sra.org.uk/indemnity](http://www.sra.org.uk/indemnity) once this has been finalised for the new indemnity year.

Please ensure that you do **not** provide us with the details of an insurance broker.

If your firm has insurance under the RELs home professional rules and has been granted partial exemption under Appendix 3.1 and 3.2 of the rules, you will need to complete section (a) **and** section (b).

The minimum level of cover for recognised body partnerships is £2,000,000 for any one claim. For recognised body LLPs and companies, the minimum level of cover required is £3,000,000 for any one claim.

### Assigned Risks Pool

If you have not been able to obtain indemnity insurance with a qualified insurer you will be required to insure through the assigned risk pool (ARP).

If you are insured through ARP you must show "assigned risks pool" as your insurer. You should state the ARP policy number and the date on which the cover commenced.

You do not need to send in proof of indemnity unless we request it. We will not issue a practising certificate or registration if you do not comply with the Solicitors' Indemnity Insurance Rules.

## **K Declaration**

The declaration must be completed in all cases and for all applications.

Knowingly or recklessly giving the SRA information which is false or misleading in a material particular, or failure to inform the SRA of materially significant information of which the firm or the managers are aware, may lead to disciplinary action by the SRA.

### **Signing the form**

#### **Recognised bodies**

- The declaration must be signed by a solicitor or REL who is a manager of the recognised body and who is qualified to practise in England and Wales. They must be authorised by all the managers of the firm to make the declarations in this section.
- The manager who signs the declaration on this form takes responsibility for the accuracy of the information provided in it. The signatory is expected to have checked that the information provided is correct before they sign the form.

#### **In-house practice**

An employed solicitor at the organisation must complete and sign the declaration on behalf of all the applicants named on the form for organisation types detailed below:

- Commerce and industry
- Advice services
- Registered charity
- Local government body
- Educational establishment

Please note this list is not exhaustive. If you require further guidance, please telephone our contact centre. Failure to sign the declaration will prevent the practising certificates/registrations from being granted.

Please also consider the following when completing this section:

- The declaration relates to the whole form.
- If the form is unsigned, your practising certificates/registrations will not be granted.

## Fee summary and calculation

If a solicitor, REL or RFL is a manager or employee of more than one organisation, their practising certificate fee (or registration fee) and their Compensation Fund contribution will only appear on the form for the organisation that has been chosen as his/her billing address. The form for any other organisation will show that the fee has been requested on another form.

### Summary of fees

This contains a summary of the total fees expected, according to the information pre-printed on the form. If you add or delete solicitors, RELs or RFLs, or change any information on the form, the fee calculations may also need to be changed. Change the form, the fee summary page and the fee calculation page where necessary, and enclose the correct fees.

If the form states that a solicitor's, REL's, or RFL's fees have been requested from another firm, you can still apply for their practising certificate/registration on the form and include the appropriate fee. All individual fees must be calculated and paid correctly.

### Fee calculation

Sections A, B and C (for solicitors fees, RELs fees and RFLs fees, respectively) contain a breakdown of the way the total fee is calculated for each solicitor, REL and RFL.

### Number of previous practising certificates/registrations held

This box applies to solicitors, RELs and RFLs. It shows the number of practising certificates issued to a solicitor according to our records or the equivalent period of admission for RELs and RFLs. This is used to calculate their Compensation Fund contributions.

For example, if they were admitted on 01 August 2007:

Dates of certificates/registrations	Number of PCs/registrations
1 August 2007 - 31 October 2007	1
1 November 2007 - 31 October 2008	2
1 November 2008 - 31 October 2009	3

01 November 2009 – this is the start of their fourth practising year.

### Compensation Fund contribution for solicitors, RELs and RFLs

The contribution to be paid depends on the number of practising certificates or registrations they have held, including the one they are now applying for. If they have previously been a REL or RFL, the count of registrations will also include the number of years during which they have previously practised as a member of the profession

under which they were first registered as a European or foreign lawyer. The level of contribution will depend on whether or not they have held client money during the period that ends 31 October 2009.

For RFLs, the level of contribution also depends on whether he/she has practised mainly from an office or offices outside England and Wales (E&W).

The contributions are as follows:

When client money **is** held

Compensation Fund			
Number of certificates or registrations held	Solicitors and RELs	RFLs (who mainly practise <b>inside</b> E&W)	RFLs (who mainly practise <b>outside</b> E&W)
1 to 3	£0	£0	£25
4 to 6	£195	£195	£25
7 or more	£390	£390	£25

When client money **is not** held

Compensation Fund			
Number of certificates or registrations held	Solicitors and RELs	RFLs (who mainly practise <b>inside</b> E&W)	RFLs (who mainly practise <b>outside</b> E&W)
1 to 3	£0	£0	£25
4 to 6	£65	£65	£25
7 or more	£130	£130	£25

## Schedule of fees for solicitors, RELs and RFLs\*

\* RFLs - the fees schedule below applies to RFLs that are mainly based inside England and Wales.

Category of solicitor/REL/RFL	Issue date of practising certificate/registration			
	1/11/09-31/12/09	1/01/10-31/03/10	1/04/10-30/06/10	1/07/10-31/10/10
All solicitors/RELs/RFLs other than those in the following categories.	£1180	£885	£590	£295
Solicitors/RELs/RFLs applying for their first practising certificate/registration.	£885	£885	£590	£295
Solicitors/RELs/RFLs whose gross fees or income have not exceeded £20,000 in the 12 months prior to date of applying for their practising certificate/registration.	£590	£445	£295	£150
Solicitors/RELs/RFLs who have previously held a practising certificate/registration but have not practised during the 12-month period immediately preceding the start date of their new practising certificate/registration.	£590	£445	£295	£150
Solicitors/RELs who work in the Crown Prosecution Service (except when eligible to pay low income fee or maternity fees).	£785	£585	£390	£195
Solicitors/RELs/RFLs who are taking maternity leave at the time of renewing their practising certificate/registration for the full year 1/11/09 - 31/10/010, or were on maternity leave between 1/11/08 - 31/10/09.	£590	N/A	N/A	N/A

If at any time during the 12-month period a solicitor/REL/RFL was practising both as a solicitor/REL/RFL and as a lawyer of another jurisdiction, all fees or income

received as a lawyer must be taken into account. If the total of the gross fees or gross income exceeds £20,000 they do not qualify for a reduced PC fee.

### **Registered foreign lawyers (RFL) based outside of England and Wales**

If you are based mainly outside of England and Wales the fee for your registration will be £100 plus the Compensation Fund contribution.

The Compensation Fund contribution is £25.

### **New solicitors, RELs and RFLs**

If you add a solicitor, REL or RFL to the application form, you must also add them to the fee calculation pages and ensure that you include the correct payment.

If you apply for a certificate for a solicitor who is shown on your form as non-practising, you must include his/her details on the fee calculation pages and re-calculate the total fee.

If you apply for a reduction of the fee for a solicitor, REL or RFL on the basis of the categories in section I of these notes, please recalculate the fees and write "X" in the reduced fee box for that individual.

## **Application checklist**

Please check whether any solicitors and/or RELs are subject to Regulation 3.1 of the Practising Regulations. If we are aware of any solicitors and/or RELs subject to Regulation 3 when we pre-print your form (their details are included in section G) an additional form (REG3) must be completed before their practising certificate(s) and/or registration(s) can be issued.

Please take the following steps to help us process your application quickly.:

- Check that the form has been completed correctly.
- Check that the form is signed and dated.
- Ensure that any additional sheets are clearly labelled and attached securely to the form.
- Ensure that the cheque is signed, dated and attached securely to the form.
- Confirm that any relevant documentation is enclosed, including copies of proof of change of name, for example a deed poll or marriage certificates.

If you need further help, [contact us](#).

## **Glossary of terms**

### **Billing address**

If a solicitor, REL or RFL is employed by, or is a manager in, more than one firm or organisation, the main office of one will be treated as the "billing address", and this office will pay the fee.

### **Gross fees**

"Gross fees" are all fees received from practice as a solicitor, REL or RFL, without deduction, except for disbursement which would be allowed on taxation of costs.

### **Gross income**

"Gross income" is all payments and other benefits received from practice as a solicitor, REL or RFL, under a contract of employment or a contract for services, before deduction of tax, national insurance or any other statutory deduction.

### **Head office**

The "head office" is the office we have in our records as the main address for your firm or organisation.

### **Home jurisdiction**

"Home jurisdiction" means any state other than the United Kingdom which is subject to the [Establishment of Lawyers Directive 98/5/EC](#) in which the applicant is authorised to practise under the title, or any of the titles, of that jurisdiction, and by virtue of which the applicant is registered, or has applied to be registered, with the SRA as a European lawyer.

### **Home bar authority**

"Home bar authority" means the proper authority, or any of them, in the applicant's home jurisdiction by which he/she is authorised to practise under a title of that jurisdiction.

### **Main practising address**

"Main practising address" is a solicitor's, REL's or RFL's normal place of work within the firm or organisation.

### **Manager**

A manager of a firm is a

- partner in a partnership
- member of an LLP
- director of a company

### **Multinational partnership (MNP)**

"Multinational partnership" is a partnership made up of one or more RFLs and one or more other lawyers.

## **Other office**

"Other office" is any office of your firm other than your head office.

## **Recognised body**

A partnership, company or LLP for the time being recognised by the Solicitors Regulation Authority under section 9 of the Administration of Justice Act 1985 and the Recognised Bodies Regulations.

## **Registered European lawyer (REL)**

An individual registered with the Solicitors Regulation Authority under regulation 17 of the Establishment Directive Regulations.

## **Registered foreign lawyer (RFL)**

An individual registered with the Solicitors Regulation Authority under section 89 of the Courts and Legal Services Act 1990.

## **Recognised sole practitioners**

A solicitor or REL authorised by the Solicitors Regulation Authority under section 1B of the Solicitors Act 1974 to practise as a sole practitioner.

## **Status (in firm or organisation)**

"Status" is a individual's status in a firm or organisation. Examples of status in private practice include

- sole principal
- partner
- assistant
- associate
- consultant
- professional support lawyer
- director (in a recognised body company)
- member (in a recognised body LLP or a company)
- shareowner (in a recognised body company)

An example of status in a commercial (or other type of) organisation not in private practice includes: "employee".

## **Organisation type**

Examples of "type of organisation" include

- law practice
- limited liability partnership (LLP)
- commerce and industry
- multinational partnership (MNP)

- foreign law practice
- partnership
- company

## Work categories

You may select up to six categories each, in order of importance, from the following list.

The list of work categories provided is one that is intended to cover all of firms' work types – please do not alter the categories. If for some reason your work cannot be fully covered by these categorisations, please provide details in your covering letter as this will help us when we review the categories.

Administrative and public law	BB
Advocacy	AB
Agricultural law	CC
Aviation law	DD
Banking law	EE
Business affairs	A
Chancery	FF
Charity law	B
Children law	AC
Civil liberties / human rights	GG
Commercial property	E
Common law	HH
Computer and IT law	JJ
Construction / civil engineering	KK
Consumer problems	C
Conveyancing—residential	D
Corporate finance	LL
Crime—general, motoring, juvenile	F
Debt and money advice	G
Education law	MM
Employment	I
Energy and natural resources	NN
Environmental law	H

European Community law	Z
Family	J
Financial and investment services	AA
Fraud	PP
Immigration law	L
Insolvency and bankruptcy	QQ
Insurance	Y
Intellectual property	X
International law (non-EC)	RR
Landlord and tenant—residential	K
Libel and defamation	SS
Liquor licensing / gaming	W
Litigation—commercial	N
Litigation—general	M
Maritime/shipping/admiralty	TT
Media / entertainment law	UU
Mediation—civil/commercial	OO
Mediation—family	II
Medical negligence	O
Mental health	P
Mergers and Acquisitions	VV
Military law	AD
Neighbour disputes	Q
Pension law	AE
Personal injury	R
Planning law	WW
Professional negligence	XX
Taxation	U
Transport—road and rail	YY
Travel and Tourism	ZZ
Trusts	V
Welfare benefits	S
Wills and probate	T

## Languages

You may select up to six languages each, in order of importance, from the following list.

Afrikaans	AFR
Albanian	ALB
Amharic	AMH
Arabic	ARA
Armenian	ARM
Bahasa	BAH
Bengali	BEN
Bosnian	BOS
British Sign Language	BSL
Cantonese	CAN
Chichewa	CHA
Chinese	CHI
Creole	CRE
Czech	CZE
Danish	DAN
Dutch	DUT
Edo	EDO
English	ENG
Esperanto	ESP
Fanti	FAN
Farsi (Persian)	FAR
Finnish	FIN
Flemish	FLE
French	FRE
Ga	GA
German	GER
Ghanian	GHA
Greek	GRE
Gujarati	GUJ
Hakka	HAK

Hebrew	HEB
Hindi	HIN
Hokkien	HOK
Hungarian	HUN
Ibo	IBO
Icelandic	ICE
Indonesian	IND
Iranian	IRA
Gaelic (Irish)	IRG
Italian	ITA
Japanese	JAP
Kalabari	KAL
Kekchi	KEK
Korean	KOR
Kiswahili	KSW
Kurdish	KUR
Latin	LAT
Lithuanian	LIT
Latvian	LTV
Luganda	LUG
Malay	MAL
Mandarin	MAN
Marathi	MAR
Mirpuri	MIR
Malayalam	MLM
Maltese	MSE
Nepali	NEP
Nigerian	NGE
Norwegian	NOR
Persian (Same as Farsi)	PER
Polish	POL
Portuguese	POR
Punjabi	PUN

Purewal	PUR
Pushtu	PUS
Romanian	ROM
Russian	RUS
Gaelic (Scottish)	SCG
Serbo Croat	SER
Sindhi	SIH
Sinhalese	SIN
Slovenian	SLO
Somali	SOM
Spanish	SPA
Serbian	SRB
Swahili	SWA
Swedish	SWE
Swiss-German	SWG
Sycheti	SYC
Tagalog	TAG
Tamil	TAM
Telugu	TEL
Teochew	TEO
Thai	THA
Turkish	TUR
Twi	TWI
Ukrainian	UKA
Urdu	URD
Urhobo	URH
Vietnamese	VNM
Welsh	WEL
Yiddish	YID