



Solicitors  
Regulation  
Authority

**Firm Based Authorisation**  
**Entity Manager / Owner Form FA3 - guidance notes**  
November 2015

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## 1. Introduction

This is the form to make an application for approval of incorporated or unincorporated body managers and owners only.

The form should be completed by all applicants or authorised bodies who intend to have another entity as a manager or owner that is not itself an authorised body deemed to be approved as a manager or owner under Rule 13.2 of the SRA Authorisation Rules 2011. Such entities require specific approval to act as a manager or owner.

This form is also not for managers or owners that intend to become managers or owners of recognised bodies and require authorisation from the SRA in their own right. Please refer to Rule 13 of the Practice Framework Rules and the SRA Glossary.

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## 2. Getting Started

### How to use the form

The form is an editable Portable Document Format file (PDF) and should be completed electronically.

Please answer all questions and complete all the relevant boxes.

All declarations must be signed before submitting the form, this can be done electronically.

Please note: we will not be able to process your application unless it is complete.

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## 3. Advice & Help

Where to get help with your application:

- You may find it helpful to refer to the [SRA Glossary](#).
- Pre-application questions: if you have queries in advance of submitting your notification, you can email - [authorisation@sra.org.uk](mailto:authorisation@sra.org.uk) or call us on 0370 606 2555.
- Professional Ethics guidance: it will not always be clear whether an organisation will require authorisation, or which persons require approval. Professional Ethics team help with these queries along with guidance on the SRA Handbook. Professional Ethics can be contacted at [professional.ethics@sra.org.uk](mailto:professional.ethics@sra.org.uk) or on 0370 606 2577.

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## 4. The form

### 4.1 Section 1 - Basic application details

This section is intended to capture essential information about the applicant or authorised body making the application, name of the candidate, and structural information about its involvement in the firm and any group of which it is part.

### 4.2 Section 2 - Candidate Entity Manager and/or owner

This section is intended to capture details about the candidate's business activities, any prior applications to the SRA, any other regulator, corporate registration information (where applicable), address details and contact email.

### 4.3 Section 3 - Separate businesses

This section is intended to capture details about the candidate's business, and any connected business, which may be subject to the outcomes in Chapter 12 of the SRA Code of Conduct 2011.

The section also seeks information about any sharing of premises, staff or data.

### 4.4 Section 4 - Entity manager details

If the candidate will be a body corporate manager of the applicant/authorised body, then approval will also be required of its managers under Rule 8.6(a)(ii) of the SRA Authorisation Rules 2011.

This section is intended to capture summary details of individual managers of a body corporate manager so we can ensure all individuals that require approval have applied.

An FA2 individual application form, or further FA3 entity application forms, will need to be submitted for every person detailed in this section.

### 4.5 Section 5 - SRA Suitability Test 2011

The SRA has a responsibility to ensure that persons who hold certain roles are fit and proper. The SRA Suitability Test 2011 expresses the criteria they have to satisfy.

## 4.6 Section 6 - Declaration

Authorised individual manager: The firm's authorised individual manager must be an individual lawyer manager, who is authorised by the firm and its managers, to make declarations on its behalf..

We would usually expect the authorised individual manager to be the firm's designated 'Authorised Signatory' as registered against the organisation. However, where the firm does not have an Authorised Signatory, any lawyer manager in the firm who meets the requirements can complete the form.

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## 5. Where to send the form

Please return the form by email to: [authorisation@sra.org.uk](mailto:authorisation@sra.org.uk)