



Solicitors  
**Regulation**  
Authority

Completing the application form to renew  
your practising certificate  
**RF3 2010/2011**

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## About the form

This is the prescribed form to

- make an individual application for a practising certificate, and
- check that the details which we hold about you are correct.

Section 1A Solicitors Act 1974 requires that any employed solicitor in England and Wales in connection with the provision of any legal service needs a practising certificate.

All references (unless otherwise stated) mean the following:

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

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 you. 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 fee.

## 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 renew your practising certificate then please contact Professional Ethics on:

- 0870 606 2577
- +44 (0) 1527 504430, if you are calling from overseas. or
- visit [www.sra.org.uk/contactus](http://www.sra.org.uk/contactus).

Professional Ethics can also provide guidance on our rules and regulations. Lines are open 09.00 to 17.00 Monday to Friday. Professional Ethics calls are strictly confidential.

## Useful information

What should I do if I don't want to renew my practising certificate?

You do not need to return your application form but you must notify us of your reasons for not renewing (otherwise we will send you reminder letters for your application form).

You can notify us that you are not renewing your practising certificate at [www.sra.org.uk/nnr?](http://www.sra.org.uk/nnr?)

Alternatively, email [operations@sra.org.uk](mailto:operations@sra.org.uk) or telephone our Contact Centre.

If you are not sure whether you need a practising certificate, contact [Professional Ethics](#).

What do I do if I am subject to regulation 3?

Regulation 3.1 of the Practising Regulations replaced section 12(1) of the Solicitors Act 1974 on 1 July 2009.

If you are subject to any of the paragraphs listed in regulation 3.1, you will need to complete and return form REG3 (in addition to form RF3 which is the application to renew your practising certificate). Please refer to [www.sra.org.uk/reg3](http://www.sra.org.uk/reg3).

If we know that regulation 3.1 applies when the RF3 form is produced, details will be printed in section 6 of your form. For details of paragraphs, see regulation 3.1 of the Practising Regulations or section 6 of these notes for further details.

If regulation 3.1 applies the REG3 form must be completed and returned to us before your practising certificate can be granted.

## What do I do if I have changed my name

Write your new name and the date the change became effective in section 11 "Additional information". Attach a signed copy of proof – for example, a certified copy of a deed poll or a photocopy of your marriage certificate.

## How can I pay

Your fees include:

- Your practising certificate
- Your individual contribution to the Compensation Fund

The fee calculation can be found in section 13.

You can pay the full amount by cheque, postal order, bank transfer or credit/debit 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.

If the credit/debit card authorisation/cheque is not signed or payment is not enclosed, we will return your application to you.

## Who should I make the cheque payable to?

Please make your cheque payable to the **Law Society** and put your SRA number on the back of the cheque (see section 1 of the form for your SRA number). It may take up to eight weeks for a foreign cheque to clear our account. Your application will not be processed until cleared funds have been received. We do not accept postal orders drawn outside the United Kingdom.

All foreign cheques need to be endorsed, i.e. signed and dated on the reverse by the drawer.

## Will I receive a receipt for the fee and form?

The SRA does not issue receipts for application forms or fees.

## Refunds

There is no provision in the Solicitors Act 1974 for the refund of any fee.

### **Where to send the form**

Please send your form and appropriate fee to:

Operations Unit  
Solicitors Regulation Authority  
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.

**The regulatory deadline for applications (which includes the form and fee) is 31 October 2010.**

**If an application is submitted on the day of the deadline, and payment is made by bank transfer, the applicant should ensure payment is guaranteed same day.**

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/renewal](http://www.sra.org.uk/renewal).

## **1 Personal details**

### SRA number

Every solicitor has a unique individual SRA number which should be quoted when contacting us. The number appears on a solicitor's certificate of admission or practising certificate as SRA reference number.

## **2.1 Main practising details**

### Name of organisation

The full name of the organisation will appear here.

### Type of organisation

This should detail whether your organisation is a law practice, commerce and industry, foreign law practice etc. (Please note this list is not exhaustive).

## Address and contact details

The organisation's full address and contact details will be listed. Please indicate any changes if necessary.

## Status

Your status in the organisation should be listed here. See the glossary for the full list of statuses. Include any dates when changes to status took effect in the box provided. Use a separate sheet if necessary.

## Date of any changes

Please indicate the specific date of any change so that we are able to update our records accurately.

## 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 Accounts Rules 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 you hold for or on behalf of a client or trust".

### **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 2009 to 31 October 2010, and;

- all offices where a solicitor practises, including
- offices of your organisation and any other organisation(s) through which you practise.

Change the answer to any question if it is printed incorrectly on the form and include the date any changes became effective. Do not use liquid paper.

### **Questions 1 to 4**

Before answering the questions, note that:

- You should answer all four questions, even though some of them may at first sight appear to be covering the same ground.

- You should change the answer to any question if it is printed incorrectly on the form.
- The answers to questions 1 to 2 should cover all offices of the organisation from which your relevant practice is carried on, and any other organisations through which you practise.

For example:

- (a) If the question relates to practice in England and Wales and you are a partner, the answer should cover all English and Welsh offices of the partnership, but if you are an employee, the answer will relate to the office at which you are based.
  - (b) If the question relates to practice anywhere in the world, and you are a member of a limited liability partnership (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 you are 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.
- Questions 1) and 2) will tell to us whether or not you hold or indirectly hold client money, whereas questions 3 and 4 will tell us whether or not you have to deliver an accountant's report.
  - When answering questions 1-4 please remember that the definition of client money includes controlled trust money as of 31 March 2009, see [rule 13 of the Accounts Rules](#).

### Question 1

Have you directly held or received client money in the 12 months to 31 October 2010?

- The answer is "yes" if you have held or received client money in relation to practice from an office either in, or outside, England and Wales.
- If the money was held or received in relation to practice outside England and Wales, the answer is "yes" even if you are exempt from the overseas accounts provisions in respect of that money.
- You will always have held or received client money (whether or not you were a signatory to the client account ) if:
  - a) you were a partner, or 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 you were a partner but became a consultant before the beginning of the practising year 1 November 2009 to 31 October 2010 the answer to question

1) is “no”, unless you held or received client money in a capacity other than as a partner in your firm.

- If a cheque was made out to you and it was signed over to a client, beneficiary or employer then you “received” the money even though it was not banked in your name.

## Question 2

Have you held or received client money through an LLP or company in the 12 months to 31 October 2010?

- The answer is “yes” if you were 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) A registered European lawyer (REL) controlled LLP or company which held or received client money in respect of practice outside Scotland or Northern Ireland.
  - (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, Scotland or Northern Ireland under Parts 1 and 2 of the Companies Act 2006;
  - (ii) incorporated in an Establishment Directive state and registered as an overseas company under Part 34 of the Companies Act 2006; 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 3

Are you required to deliver an accountant's report(s) in respect of practice in England and Wales in the 12 months to 31 October 2010?

- The answer is “yes” if, in respect of practice in England and Wales in the 12 months to 31 October 2010, you:

- (a) held or received client money;
  - (b) operated a client's own account as signatory;
  - (c) were a director of a company which held or received client money; or
  - (d) were a member of an LLP which held or received client money.
- You will always have held or received client money in respect of practice in England and Wales (whether or not you were a signatory to the client account) if:
    - (a) you were 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 whilst "client money" now means both client money and trust money, both terms have been set apart in the explanations below for clarity.**

- You may hold or receive client money in your capacity as a partner—for example, when a will or trust appoints "the partners" in a firm as the only executors or trustees.
- You may hold or receive client money or trust money in a capacity other than as a partner—for example, when a will or trust appoints you 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 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 you are required to deliver an accountant's report(s) in respect of practice in England and Wales, but not in respect of the practice of your firm, answer "yes", but add a note "not through this firm". This is to make sure that you are 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.

### Question 3

Are you required to deliver an accountant's report(s) in respect of practice outside England and Wales in the 12 months to 31 October 2010?

- The general rule is that a solicitor is required to deliver an accountant's report(s) in respect of practice outside England and Wales if, in the 12 months to 31 October 2010, the solicitor held or received client money or trust money, either:
  - (a) directly (as an individual or partner), or
  - (b) indirectly (through an LLP or company).

- You will have held or received money directly if, for example:
  - (a) you held or received client money as a recognised sole practitioner.
  - (b) you were a partner, or held out as a partner, in a partnership; and the partnership held or received client money. (This will be so whether or not you were a signatory to the client account.)
  - (c) you held or received client money as a partner where a will or trust appointed “the partners” in the firm as the only executors or trustees.
  - (d) you held or received client money as an individual where a will or trust appointed the solicitor by name as an executor or trustee.
  - (e) you received a cheque made out to you, which was signed over to a client, beneficiary or employer without being banked in your name. (In this case you have received the money but have 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 which the solicitor held or received in some other capacity—for example, as a named trustee.

- You will have held or received money indirectly if:
  - (a) you were a member of an LLP, or a director of a company, which held or received client money.
  - (b) you were a member of an LLP, or a director of a company, 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, you were:
    - (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) you were 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) you were 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) you held or received client money as trustee; and
  - (ii) the only other trustee(s) were director(s), shareowner(s) and/or employee(s) of the company.
- (f) you were 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) you held or received client money as trustee; and
  - (ii) the only other trustee(s) were director(s), member(s) and/or employee(s) of the company.
- (g) you were 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) you held or received client money as trustee; and
  - (ii) the only other trustee(s) were member(s) and/or employee(s) of the body corporate.
- (h) you were 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) you held or received client 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”.

## **Recognised body companies only**

If your organisation is a recognised body company you must answer the questions relating to registered members and shareowners. These questions can be left blank if your organisation is **not** a recognised body company.

### **Registered members**

Although most members of companies will also be shareowners, there may be instances where this is not the case.

Please check the tick box which confirms whether or not you are a registered member of the company. A registered member (or member) is a person who holds a share in the company, whether on his or her own behalf or as a nominee on behalf of someone else (or both). Please note that you may hold shares as nominee but only for an individual or body who or which is qualified to be a member or shareowner i.e. a solicitor, REL, RFL, EEL, an “other lawyer”, an approved non-lawyer, or a legally qualified body.

A director need not be a member or a shareowner. Likewise, a member need not be a director or a shareowner; and a shareowner need not be a director or a member. If you are not a director but hold and/or beneficially own shares, please indicate so here.

### **Shareowners**

Please check the tick box which confirms whether or not you are a beneficial owner of a share in the company (whether or not the share is held in your name or by a nominee – for more details see “registered member” above).

## **2.2 Any other practising address**

Check the details and amend as necessary. Please note this information is only relevant if you practise for more than one firm or organisation.

## **3 Eligibility to practise**

In compliance with regulation 10 of the Practising Regulations we are required to hold details of all legal professions of which solicitors are members.

If you are also a member of a legal profession of another jurisdiction (which has not been pre-printed in the case of pre-printed forms), you should note the jurisdiction, the professional title, and the date of admission to that profession.

If you are registered in another European state under the Establishment Directive, you should give the jurisdiction and the date of initial registration.

## **4 Work categories**

The directory holds information on the types of work undertaken by solicitors. The online directory is Find a solicitor—see [www.lawsociety.org.uk](http://www.lawsociety.org.uk).

Please check the details (if the form is not blank) and amend them if necessary, referring to our list of work categories. Please note that our records hold a maximum of six categories.

The list of work categories provided is one that is intended to cover all solicitors' 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 section 11 – Additional information 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

## 5 Languages

The directory holds information on languages (other than English) spoken by solicitors. The online directory is Find a solicitor—see [www.lawsociety.org.uk](http://www.lawsociety.org.uk). If the form is pre-printed please check the details, and amend them if necessary, referring to our list of languages. Please note that our records hold a maximum of six languages.

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

## **6 Applications made under Regulation 3 of the SRA Practising Regulations 2009**

You must tell us in this section if Regulation 3 of the Practising Regulations applies to you.

Under Regulation 3 of the Practising Regulations, any solicitor who applies for a practising certificate in certain situations must give six weeks' notice of his/her intention to apply. These situations are listed below.

Notice is given using the 2010/2011 REG 3 application form. If you require the REG 3 form you can download the form at [www.sra.org.uk/reg3](http://www.sra.org.uk/reg3) or contact us.

Until we have received and considered the REG 3 application, a practising certificate cannot be granted.

## Regulation 3 of the SRA Practising Regulations 2009

“3.1 Regulation 3 applies (subject to 3.3 below) to an initial application for a practising certificate, an application for replacement of a practising certificate, an initial application for registration in the register of European lawyers and an application for renewal of registration in the register of European lawyers, in any of the following circumstances.

- (a) The applicant has been:
  - (i) reprimanded, 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 Law Society or 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 the SRA;
  - (iii) made the subject of, or been a manager of a recognised body which has been the subject of, an intervention by the Law Society or 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 (or previously the Law Society) has requested an explanation from the applicant in respect of a matter relating to the applicant's conduct and has notified the applicant in writing that it does not regard the applicant's response, or lack of response, as satisfactory.
- (c) The applicant 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) The applicant's practising certificate or registration has been suspended and the suspension:
  - (i) has come to an end;

- (ii) was continuing when the applicant's last practising certificate or previous registration expired or was revoked; or
  - (iii) is continuing.
- (e) The applicant has been suspended from practice (or suspended from the register, if the applicant is a European lawyer), and the suspension has come to an end.
- (f) The applicant's last practising certificate or previous registration expired or was revoked whilst subject to a condition.
- (g) The applicant's practising certificate or registration is currently subject to a condition.
- (h) The applicant's 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) The applicant has been restored to the roll or register, having previously been struck off.
- (j) The applicant is an undischarged bankrupt.
- (k) The applicant:
  - (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) The applicant 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 the applicant.
- (m) The applicant has been committed to prison in civil or criminal proceedings and:
  - (i) has been released; or
  - (ii) has not been released.
- (n) The applicant 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 (or previously to the Law Society).
- (o) The applicant is currently charged with an indictable offence.
  - (p) The applicant 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) The applicant has been disqualified from being a company director.
  - (r) The applicant 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) The applicant has been the subject in another jurisdiction of any circumstance equivalent to those listed in (j) to (r). “

## 7 Continuing professional development (CPD)

Please complete this section to confirm whether or not you have met your CPD requirements. All solicitors admitted to the roll must comply with the requirements of the CPD scheme.

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 2009 (and not 31 October 2010) as the CPD declaration is retrospective.

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, please visit [www.sra.org.uk/solicitors/cpd.page](http://www.sra.org.uk/solicitors/cpd.page). Alternatively, please contact us.

If you did not have a CPD requirements for the period ending 31 October 2009, tick the N/A box for question 7 on the form and provide an explanation.

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 1st CPD year.

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

For full scheme guidance on CPD requirements visit [www.sra.org.uk/solicitors/cpd.page](http://www.sra.org.uk/solicitors/cpd.page).

## 8 Reduced practising certificate fee

Complete this section if you are eligible for a reduced practising certificate fee. Any reduction in fees only applies to the practising certificate fee. The Compensation Fund contribution remains unchanged. Reduced fees are available to the following solicitors:

**Category A** Solicitors who are currently on statutory maternity/adoption leave or a period of leave equivalent to statutory maternity leave.

**Category B** Solicitors who took a period of statutory maternity leave or a period of leave equivalent to statutory maternity leave which started between 1 November 2009 and 31 October 2010.

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

For any solicitors who are applying for a reduced fee certificate, please amend your fees in section 13.

In previous years there have also been other ‘Reduced Fee Categories’. However, as the practising certificate fee has significantly reduced for the 2010/2011 practising year, the SRA Board approved the above two categories as the only ‘Reduced Fee Categories’ for the 2010/2011 practising year.

## 9 Solicitors’ Indemnity Insurance Rules

The Solicitors’ Indemnity Insurance Rules apply to managers of recognised body partnerships, recognised body LLPs and recognised body companies.

The Solicitors’ Indemnity Insurance Rules **do not apply to**

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

You must submit details of your qualifying insurer’s name, the policy number and period of cover. Your certificate will be delayed if you are not compliant with the Indemnity Insurance Rules. The list of qualifying insurers can be found at [www.sra.org.uk/indemnity](http://www.sra.org.uk/indemnity).

**Please ensure the details provided are not those of an insurance broker.**

Complete both sections if your firm has insurance under RELs home professional rules and has been granted partial exemption under Appendix 3.1 and 3.2 of the rules.

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

## Locum solicitors

If you provide locum services and are covered under the insurance cover of the firm(s) employing you, please tick the 'Yes' box.

## Assigned Risks Pool (ARP)

Until **30 September 2010** if you have not been able to obtain indemnity insurance with a qualifying insurer you will be required to insure through the Assigned Risks Pool (ARP). If you are insured through the ARP you must show "Assigned Risks Pool" as your insurer, and provide the ARP policy number and the date on which the cover commenced. If your indemnity insurance cover will be through the ARP, **please provide details in your covering letter** of the reasons you have not been able to obtain cover with a qualifying insurer.

**From 1 October 2010 the ARP will not provide cover to new firms** (in this context a new firm is any firm that is not a successor practice as defined by clause 8.2 of the Solicitors' Indemnity Insurance 2009). If you are unsure if your firm is a successor practice for indemnity purposes, you can contact our Client Protection Policy Unit on 01527 504487 for further guidance. Visit [www.sra.org.uk/ARPform](http://www.sra.org.uk/ARPform) to find out how to apply.

## 10 Welsh practising certificate

Please tick the 'Yes' box if you would like your practising certificate printed in Welsh. Each Welsh practising certificate has the English translation on the reverse side.

## 11 Additional information

Use this box to detail any further information. Examples include

- your name change and the date it became effective; and
- details of any other legal qualifications and registrations as per section 3.

## 12 Declaration of compliance

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

Knowingly or recklessly giving the SRA information which is false or misleading, or failure to inform the SRA of materially significant information of which you are aware, may lead to disciplinary action by the SRA.

- You must sign the form whether you are a solicitor in private practice or in-house practice. If the form is unsigned your practising certificate will not be granted.
- You are expected to have checked the accuracy of the information given in the form before signing.
- The declaration relates to the whole form.

- The declaration must be signed by the solicitor named in section 1 of this form.

## 13 Fee calculation

### Practising certificate fee

The fee for a practising certificate from 1 November 2010 – 31 October 2011 is £428. If you are eligible for a reduced fee as per section 8, then please indicate here your new fee.

### Compensation Fund contribution for solicitors

The contribution to be paid is £10 whether or not you hold client money.

### Schedule of fees

Category of solicitor	Issue date of practising certificate			
	1/11/10 31/12/10	1/01/11 31/03/11	1/04/11 30/06/11	1/07/11 31/10/11
All solicitors other than those in the following categories.	£428	£333	£238	£143
Solicitors applying for their first practising certificate.	£428	£333	£238	£143
Solicitors who are taking maternity leave at the time of renewing their practising certificate for the full year 1/11/10 - 31/10/11, or were on maternity leave between 1/11/09 - 31/10/10.	£238	190.50	£143	£95.50

## Application checklist

To help us to process your application quickly, check the following:

- The form has been completed correctly.
- The form is signed and dated.
- Any additional sheets are clearly labelled and attached securely to the form.

- The cheque is signed, dated and attached securely to the form.
- Any relevant documentation is enclosed, including a copy of proof of change of name, for example a deed poll or your marriage certificate.

We hope these guidance notes will assist you to complete the form. If you need any further help, [contact us](#).

## Glossary of the terms used in these notes

### Main practising address

Your normal place of work within a firm or organisation.

### 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.

### Recognised sole practitioner

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

Your status in the firm or organisation. Examples of status in private practice include:

- sole principal,
- partner,
- assistant,
- associate,
- consultant,
- 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 organisation which is not in private practice includes: “employee”.

## Organisation type

Examples of the type of organisations include:

- law practice,
- limited liability partnership,
- commerce and industry,
- foreign law practice.