

## Application for initial authorisation of a Limited Liability Partnership

This form is for a new LLP to apply for approval to practise under the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules).

**Please refer to the notes which can be found at [www.sra.org.uk/rb2](http://www.sra.org.uk/rb2)**

If you need any assistance completing this form please telephone us on 0870 606 2555 or email us at [contactcentre@sra.org.uk](mailto:contactcentre@sra.org.uk). Our lines are open from 09.00 to 17.00 Monday to Friday. If you are calling from overseas please use +44 (0) 1527 504450. Please note calls may be monitored/recorded for training purposes.

### Section 1 - Name

Name under which the LLP is to be authorised	<input type="text"/>
Name under which the LLP will trade (if different)	<input type="text"/>
Are you an existing authorised body (i.e. converting to a LLP status)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
By answering 'Yes' you are confirming the closure of the existing authorised body once authorisation has been granted for the new LLP (Please see notes)	
If 'Yes' please provide the existing authorised body's SRA number.	<input type="text"/>

### Section 2 - Preferred practice commencement date

Please enter the date you would like the LLP to start providing legal services.	<input type="text"/>
<b>Please note that you are unable to commence practice until the LLP has been granted authorisation</b>	

### Section 3 - Registered office details

An authorised body which is an LLP must be incorporated and registered in England and Wales, Scotland or in Northern Ireland under the Limited Liability Partnership Act 2000.

Companies House Registration number		
<input type="text"/>		
Address (including country of incorporation)		
Please note this must be a practising address (see Rule 15.5 of the SRA Practice Framework Rules 2011)		
<input type="text"/>	Tel no.	<input type="text"/>
<input type="text"/>	Fax no.	<input type="text"/>
<input type="text"/>	DX address	<input type="text"/>
<input type="text"/>	Email	<input type="text"/>
Post code <input type="text"/>	Website	<input type="text"/>

### Section 4 - Other offices

If you are providing details for more than three offices please photocopy this section before completion.  
(Please include any overseas offices).

Address		
<input type="text"/>	Tel no.	<input type="text"/>
<input type="text"/>	Fax no.	<input type="text"/>
<input type="text"/>	DX address	<input type="text"/>
<input type="text"/>	Email	<input type="text"/>
Post code <input type="text"/>	Website	<input type="text"/>

Address		
<input type="text"/>	Tel no.	<input type="text"/>
<input type="text"/>	Fax no.	<input type="text"/>
<input type="text"/>	DX address	<input type="text"/>
<input type="text"/>	Email	<input type="text"/>
Post code <input type="text"/>	Website	<input type="text"/>

Address		
<input type="text"/>	Tel no.	<input type="text"/>
<input type="text"/>	Fax no.	<input type="text"/>
<input type="text"/>	DX address	<input type="text"/>
<input type="text"/>	Email	<input type="text"/>
Post code <input type="text"/>	Website	<input type="text"/>

## Section 5 - Accountant's reports section

If the LLP intends to hold client money the LLP and its members will be required to deliver an accountant's report.

Will the LLP hold or receive client money?

Yes

No

Will any members or employee operate a client's own account as a signatory?

Yes

No

Intended date on which the first accounting period will start:  
(commencement date of holding client money)

**Please note the above date must not precede the date the LLP is authorised**

**If it is intended that the LLP will hold or receive client money (as defined in the SRA Accounts Rules) at any time during the period 1 November 2011 to 31 October 2012 you are required to submit a contribution to the Compensation Fund with this application.**

Date on which the first accounting period is intended to end:  
(Accountant's reports must be delivered no more than six months after the accounting period ends.)

Are you intending to submit separate accountant's reports for any of the offices listed in section 4?

Yes

No

If yes, for which offices?

## Section 6 - Person qualified to supervise

Please provide the name of a member qualified to supervise in compliance with Rule 12 of the SRA Practice Framework Rules 2011.

Name

SRA number  
(if applicable)

You must have at least one lawyer member who is qualified to supervise. You will need to refer to the notes if the person named above is not a solicitor.

**Please note we will not proceed with this application if you are unable to comply with Rule 12.**

## Section 7 - Authorisation to take trainee solicitors

Does the LLP wish to become authorised to take trainee solicitors?

Yes

No

If 'Yes' please provide the name of the proposed training principal in accordance with the SRA Training Regulations 2011.

Name

SRA number

Once your LLP has been authorised, we will arrange to send you a form to apply to take on trainee solicitors.

## Section 8 - Main contacts

We contact authorised bodies at various times throughout the year. To enable us to contact the appropriate person please provide the relevant details below if you are able to.

a) Compliance Officer for Legal Practice (COLP)	Name	<input type="text"/>	SRA number	<input type="text"/>
	Email address	<input type="text"/>		
b) Compliance Officer for Finance Administration (COFA)	Name	<input type="text"/>	SRA number	<input type="text"/>
	Email address	<input type="text"/>		
c) Authorised signatory	Name	<input type="text"/>	SRA number	<input type="text"/>
	Email address	<input type="text"/>		
d) Financial Services Authority (FSA) compliance officer	Name	<input type="text"/>	SRA number	<input type="text"/>
	Email address	<input type="text"/>		
e) Training contact	Name	<input type="text"/>	SRA number	<input type="text"/>
	Email address	<input type="text"/>		

## Section 9 - Indemnity insurance

Please provide information on the indemnity insurance cover you have arranged for the LLP. Please note the minimum level of cover required under Rule 4 of the SRA Indemnity Insurance Rules 2011 is £3million for any one claim. If you are insured by more than one qualifying insurer please provide details in 'Additional information' below.

Name of qualifying insurer

Policy number

Period of cover

To

Please attached evidence of the indemnity insurance cover or a valid quotation from the insurer.

Copy attached

Is the firm exempt/partially exempt (delete as appropriate) under Appendix 3.1 or 3.2 of the SRA Indemnity Insurance Rules 2011?

Yes  No

If 'Yes' please provide details:

Date exemption granted

Name of insurer

Policy Number

Period of cover

To

Additional information

**Please note if you do not have indemnity insurance your LLP will not be authorised**

## Section 10 - Solicitor members

Please provide details of all solicitor members that meet the deeming provisions set out in Part 4 of the SRA Authorisation Rules. If the solicitor member does not meet these deeming provisions, please enter their details in section 12 of this application as they are required to complete the Suitability Test.

An LLP must have at least two members in compliance with Rule 16.3 of the SRA Practice Framework Rules 2011. If you are giving information about more than two members, please photocopy this section before completing.

A person is deemed to be approved as suitable to be a manager or owner of an authorised body under Part 4 of the SRA Authorisation Rules if:

- (a) that person is a solicitor who holds a current practising certificate and
- (b) there is no condition on the person's practising certificate, preventing or restricting them from being a manager of an authorised body or being a sole practitioner and
- (c) the SRA is notified on the prescribed form in advance of the person becoming a manager or owner of the authorised body and
- (d) the SRA has not withdrawn its approval of that person to be a manager or owner under the SRA Authorisation Rules

### You must answer all of these questions

Title	<input type="text"/>		
Surname	<input type="text"/>	Forename(s)	SRA number
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Main practising address (where the individual will be based)			
<input type="text"/>			
<input type="text"/>			
Name of previous/current firm		Date left previous firm (if applicable)	
<input type="text"/>		<input type="text"/>	

Can the individual confirm that the deemed provisions in Part 4 of the SRA Authorisation Rules stated above applies to them?

Yes

## Section 10 Continued - Solicitor members

Has the solicitor member named, been subject to, or affected by, any of the matters or events referred to in Regulation 3.1 of the SRA Practising Regulations 2011, since their last declaration to the SRA? (See notes).

Yes  No

If 'Yes' please provide a **FULL STATEMENT OF EVENTS** and supporting documentation.

## Section 10 - Solicitor members

Please provide details of all solicitor members that meet the deeming provisions set out in Part 4 of the SRA Authorisation Rules. If the solicitor member does not meet these deeming provisions, please enter their details in section 12 of this application as they are required to complete the Suitability Test.

An LLP must have at least two members in compliance with Rule 16.3 of the SRA Practice Framework Rules 2011. If you are giving information about more than two members, please photocopy this section before completing.

A person is deemed to be approved as suitable to be a manager or owner of an authorised body under Part 4 of the SRA Authorisation Rules if:

- (a) that person is a solicitor who holds a current practising certificate and
- (b) there is no condition on the person's practising certificate, preventing or restricting them from being a manager of an authorised body or being a sole practitioner and
- (c) the SRA is notified on the prescribed form in advance of the person becoming a manager or owner of the authorised body and
- (d) the SRA has not withdrawn its approval of that person to be a manager or owner under the SRA Authorisation Rules

### You must answer all of these questions

Title	<input type="text"/>		
Surname	<input type="text"/>	Forename(s)	SRA number
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Main practising address (where the individual will be based)			
<input type="text"/>			
<input type="text"/>			
Name of previous/current firm		Date left previous firm (if applicable)	
<input type="text"/>		<input type="text"/>	

Can the individual confirm that the deemed provisions in Part 4 of the SRA Authorisation Rules stated above applies to them?

Yes

## Section 10 Continued - Solicitor members

Has the solicitor member named, been subject to, or affected by, any of the matters or events referred to in Regulation 3.1 of the SRA Practising Regulations 2011, since their last declaration to the SRA? (See notes).

Yes  No

If 'Yes' please provide a **FULL STATEMENT OF EVENTS** and supporting documentation.

## Section 11 - Authorised Body members

Please provide details of any authorised bodies which are deemed approved and are to be members of the applicant body in accordance with Rule 16.1 of the SRA Practice Framework Rules 2011. If you are giving information about more than one authorised body member please photocopy this section before completing.

A person is deemed to be approved as suitable to be a manager or owner of an authorised body under Part 4 of the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies if:

- (a) that person is an authorised body and
- (b) there is no condition on the person's authorisation preventing or restricting them from being a manager, owner or interest holder of an authorised body and
- (c) the SRA is notified on the prescribed form in advance of the person becoming a manager or owner of the authorised body and
- (d) the SRA has not withdrawn its approval of that person to be a manager or owner under the SRA Authorisation Rules

Can the person confirm that the deemed provisions in Part 4 of the SRA Authorisation Rules stated above applies to them?

Yes

Name of authorised body member

SRA number

Type of body (e.g. company, partnership, LLP or partnership with legal personality)

Please tick one of the following. Is the body a:

Authorised body

Licensed Body

Main office address (this should be the registered office if the body is a body corporate and should include the country in which the body was formed or incorporated).

Website address

## Section 11 continued - Authorised Body partners

Please indicate the interest holding in a form of a percentage held

If an interest is held will the authorised body hold this as nominee? Yes  No

If yes, please provide details

### 11.1 - Deemed approved individual manager details

Please provide details of all solicitor managers that meet the deeming provisions set out in Part 4 of the SRA Authorisation Rules who sit within the deemed authorised body named in section 11.

If you are giving information about more than one manager please photocopy this page.

Title <input type="text"/>		
Surname <input type="text"/>	Forename(s) <input type="text"/>	SRA number <input type="text"/>
Main practising address (where the individual will be based)		
<input type="text"/>		
<input type="text"/>		
Name of previous/current firm <input type="text"/>	Date left previous firm (if applicable) <input type="text"/>	

Can the individual confirm that the deemed provisions in Part 4 of the SRA Authorisation Rules stated above applies to them? Yes

## 11.2 - Non deemed individual manager details

Please provide details of any individual manager within the deemed approved authorised body who can not be deemed approved. If there is more than one manager please photocopy this section.

Title	<input type="text"/>	Forename(s)	<input type="text"/>
Surname	<input type="text"/>	Former name(s)	<input type="text"/>
Date of birth	<input type="text"/>	Gender	<input type="text"/>
National Insurance number	<input type="text"/>		
Passport number/ Identity card number	<input type="text"/>		
Passport expiry date	<input type="text"/>		
Nationality	<input type="text"/>		
Second (dual) nationality (if applicable)	<input type="text"/>		
Third nationality (if applicable)	<input type="text"/>		
Fourth nationality (if applicable)	<input type="text"/>		
Country of Origin	<input type="text"/>		
Is the individual a citizen of the EU?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If No, does the individual have the legal right to remain in the United Kingdom?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Does the individual have the legal right to work in the United Kingdom?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Visa number	<input type="text"/>	Visa Expiry date	<input type="text"/>
If the answer is No to either of these two questions, please provide a full statement explaining the individual's current circumstances.			
<input type="text"/>			
To grant an application where an individual has no legal right to remain or work in the United Kingdom could be contrary to the public interest and Immigration Regulations.			

## 11.2 - Individual manager details continued

### Current Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>		
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Mobile No:	<input type="text"/>

If you need to provide more than one home address to cover the required five year period please use the section below.

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

## 11.3 - Individual manager details

Address (the address where the individual will work)			
Name of the authorised body	<input type="text"/>		
Address line 1	<input type="text"/>	DX no	<input type="text"/>
Address line 2	<input type="text"/>	DX town	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Tel number	<input type="text"/>		
Has the individual been disqualified from being a manager?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Is the individual a lawyer? (For definition see SRA Handbook)	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Type of lawyer	<input type="text"/>		
Is the individual entitled to practise?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Professional and/or regulatory body of which the individual is a member	<input type="text"/>		
Registration number	<input type="text"/>		
Is the individual dual qualified?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
If Yes, please provide details			
<input type="text"/>			
Has the individual at any time made any application to the SRA?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Type of application made	<input type="text"/>		
Please provide the reference number or approximate date of the application.	<input type="text"/>		
Outcome (i.e. pending / granted/ granted with conditions / refused )	<input type="text"/>		
Registration number	<input type="text"/>		
If the individual is also a shareowner, please indicate the interest holding in the form of a percentage held.	<input type="text"/>		
Does the individual hold the shares as nominee?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
If Yes, please provide details			
<input type="text"/>			

## 11.4 - Individual manager details

In order to assess the individual we need information on their work history and their professional interests of the individual. The individual will become known as the candidate for the purposes of the Suitability Test and the rest of this section. Please photocopy this page if you require additional space.

What is the candidate's profession(s)?	<input type="text"/>		
Please provide details including length of time and the role type/title in respect of all forms of employment, including self employment, for the last 5 years			
Name of candidate's current/last employer:	<input type="text"/>		
Job title:	<input type="text"/>		
SRA Number of employer (if applicable):	<input type="text"/>	Date employment started:	<input type="text"/>
Address Line 1:	<input type="text"/>	Date employment ended (if applicable):	<input type="text"/>
Address Line 2:	<input type="text"/>		
City/Town:	<input type="text"/>		<input type="text"/>
County:	<input type="text"/>		
Country:	<input type="text"/>		
Postcode:	<input type="text"/>		
Did this employment involve the practise of law?		Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 11.5 - Suitability Test

This part governs the SRA's determination of applications for the approval of an authorised body's managers and owners as pursuant to the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules).

### Fit and proper

The following statement is to be read by the candidate.

The SRA has a responsibility under the SRA Authorisation Rules to ensure that persons who hold certain roles within authorised bodies are fit and proper. The Suitability Test expresses the criteria you have to satisfy.

All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.

You must answer all the following questions. Convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (as amended) must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (this does not apply to managers or owners). For corporate persons/entities, the Rehabilitation of Offenders Act 1974 does not apply, but as convictions against corporate entities cannot be spent, you must disclose any and all convictions.

If you answer 'Yes' to any of the questions 1-8, you must provide:

- 1) a statement of events, setting out any exceptional circumstances
- 2) details of at least two referees
- 3) confirmation that there are no further issues

together with any other information specific to the issue(s) we require.

The candidate has read and understood this statement

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour.**

**The candidate must disclose any matters that have occurred in the UK and/or overseas.**

## **Criminal offences**

1. Has the candidate ever been convicted by a court of a criminal offence:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) for which they received a custodial or suspended sentence;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) involving dishonesty, fraud, perjury and/or bribery;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) associated with obstructing the course of justice;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) which demonstrated behaviour showing signs of discrimination towards others;                                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) associated with terrorism;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vi) which was racially aggravated;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vii) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ix) more than one criminal offence  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

2. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) been convicted by a court of a criminal offence not falling within 1 above;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) been included on the Violent and Sex Offender Register but in relation to the candidates inclusion on the Register, the candidate has not been convicted by a court of a criminal offence; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution for an offence involving dishonesty  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we are more likely than not to refuse your application.**

3. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) received a local warning from the police;                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution from the police for an offence not involving dishonesty; | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) received a Penalty Notice for Disorder (PND) from the police               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) received a final warning or reprimand from the police (youths only); and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) received a referral order from the courts (youths only).                     | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we may refuse your application.**

Is the candidate currently facing any criminal charges? Yes  No

**If the candidate answered 'Yes', they must disclose the details of the charge(s). We will not determine their application until they can confirm that the charge(s) has/have either been dropped or the outcome of their case is known.**

**Please attach all evidence to your completed application.**

## **Criminal offences continued**

### **Evidence and rehabilitation**

Refer to sections 7 and 8 of the Suitability Test within the SRA Handbook. The detailed evidence requirements are specified after each section of the test.

**If you have answered 'Yes' to questions 1 - 3 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s) such as sentencing remarks
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) any evidence of rehabilitation
- E) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)
- F) if you were fined, evidence of payment of fine(s). Reports can be obtained from the Court

The onus is on you and the candidate to provide any evidence you or the candidate consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Assessment offences

Refer to section 4 of the Suitability Test within the SRA Handbook.

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

- 4) Has the candidate ever committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence which amounts to plagiarism or cheating to gain advantage for themselves or others?

Yes  No

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

**If you have answered 'Yes' to question 4 you must provide:**

- A) a full statement of the event(s), setting out:
- any exceptional circumstances,
  - the extent to which you were aware of the rules and procedures governing the reference of material or the use of group work or collaborative material, and
  - the extent to which you could reasonably have been expected to realise that the offence did not constitute legitimate academic practice
- B) at least one independent report relating to the event(s) from the University or course provider, such as minutes from meetings or hearings
- C) details of at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Financial behaviour

Refer to section 5 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

5) Has the candidate ever been declared bankrupt, entered into any individual voluntary arrangements (IVA) or had a County Court Judgment (CCJ) issued against them?

Yes  No

**If the candidate answered 'Yes' it will raise a presumption that they cannot manage their finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.**

**If the candidate has answered 'Yes' to question 5 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Regulatory History

Refer to section 6 of the Suitability Test with the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement.**

Yes  No

6) Has the candidate ever:

(i.) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings;

Yes  No

(ii.) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information

Yes  No

(iii.) breached the requirements of a regulatory body

Yes  No

(iv.) been refused registration by a regulatory body; and/or

Yes  No

(v.) failed to comply with the requests of a regulatory body

Yes  No

**If the candidate answered 'Yes' we will refuse your application unless there are exceptional circumstances**

7) (i.) Has the candidate ever been rebuked or reprimanded by or received a warning about their conduct from a regulatory body?

Yes  No

**If the candidate answered 'Yes' we may refuse your application**

(ii.) Is the candidate currently facing any disciplinary proceeding(s) or investigation(s)?

Yes  No

**If the candidate answered 'Yes' they must disclose details of the matter(s). We will not determine their application until they can confirm that the matter(s) has/have either been dropped or the outcome is known.**

If the candidate has answered 'Yes' to questions 6 or 7 you must provide:

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include documentation from the regulatory/professional body, minutes from hearings and meetings, confirmation of outcome(s), appeal details (if relevant) and any sanctions
- C) details of any disciplinary proceeding(s) or investigation(s) you may be facing. Please be aware that we will not determine your application until you can confirm that the matter(s) has/have either been dropped or the outcome of your case is known
- D) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- E) independent evidence of actions you have taken to satisfy any findings and/or sanctions

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Any other behaviour

Refer to section 3 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

8) Are there any other factors which may call into question the candidate's character and suitability?

Yes  No

Unless there are exceptional circumstances we will refuse the candidate's application if they have:

- (i.) been responsible for behaviour:  
(a) which is dishonest; (b) which is violent; (c) where there is evidence of discrimination towards others;
- (ii.) misused their position to obtain pecuniary advantage;
- (iii.) misused their position of trust in relation to vulnerable people; and/or
- (iv.) been responsible for other forms of behaviour which demonstrate that they cannot be relied upon to discharge their regulatory duties.

**If a candidate has answered 'Yes' to question 8 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s)
- C) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

9) Has the candidate ever been removed from the office of charity trustee by an Order of the Charities Act 1993?

Yes  No

**If Yes:** Please provide details:

10) Has the candidate ever been removed or disqualified as a company director?

Yes  No

**If Yes:** Please provide details:

## Any other behaviour continued

- 11) Has the candidate ever been a manager or shareowner of a body corporate which has been the subject of a winding up order, an administration or administration receivership, or has otherwise been wound-up or put into administration or has entered into a voluntary arrangement under the Insolvency Act 1986? Yes  No

**If Yes:** Please provide details

- 12) Has the candidate any previous conviction which is now spent for a criminal offence relating to bankruptcy, IVA's or other circumstances of insolvency? Yes  No

**If Yes:** Please provide details

- 13) Are there any other matters which call the candidate's fitness or or propriety into question? Yes  No

**If Yes:** Please provide details

- 14) Has the candidate committed an offence under the Companies Act 2006? Yes  No

**If Yes:** Please provide details

- 15) Is the candidate aware of any matters which relate to the honesty and integrity of any person they are related to, affiliated with, or act together with which may influence the candidate's authorised role within the authorised body? Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

- 16) Does or will the candidate have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the authorised body?

Yes  No

**If Yes:** Please provide details

- 17) Is the candidate a manager, partner, fee-earner or employee in any other business?

Yes  No

**If Yes:** Please provide details

- 18) Does the candidate intend to continue with any other business(es) if this application for approval is successful?

Yes  No

**If Yes:** Please provide details

- 19) Has the candidate been named in any complaints to their regulator or to any Ombudsman in the last 12 months?

Yes  No

**If Yes:** Please provide details

- 20) Has the candidate ever been disqualified in any capacity under Section 99 of the Legal Services Act 2007 or under the SRA Authorisation Rules?

Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

21) Has the candidate ever been disqualified from acting as a Head of Legal Practice or Head of Finance and Administration by the SRA or another approved regulator?

Yes

No

**If Yes:** Please provide details

## 11.6 - Candidate's Declaration

**Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA or significant information may lead to:**

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA.

The SRA Authorisation Rules require the candidate to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this form constitutes a proper application and that the act of submission is evidence of a binding signature.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and any other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the SRA Handbook. In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

Candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the results of that search to the SRA.

## 11.6 - Candidate's Declaration continued

### In making this application:

- I confirm that the information in this application about the authorised body and all candidates is correct and complete to the best of my knowledge and belief.
- I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject to and bound by the regulatory arrangements of the SRA.
- I authorise the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- I agree that the information I give or which becomes known because of this application and any consent given by me may be disclosed to the authorised body.
- I will provide all necessary consents for information to be given to the SRA to enable it to discharge its functions in accordance with its regulatory arrangements.
- I will notify the SRA as soon as I become aware that any information provided in this application has changed.
- I agree that information about any approval, as an authorised role holder including any conditions will be published in accordance with the SRA Publication Policy.
- In making this application I confirm, on the basis of due and diligent enquiry, that I am a fit and proper person.
- I agree that whilst resident or working in the UK, I will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.

Surname:  Forename(s):

SRA/Registration number:  Title:  Date of Birth:

Individual's signature  Date:

## Section 12 - Registered European lawyer (REL), registered foreign lawyer (RFL), Exempt European Lawyer (EEL), other lawyer and non-deemed solicitor members

Please provide details of all registered European lawyer (RELs), registered foreign lawyers (RFLs), Exempt European Lawyers (EELs), other lawyers and non-deemed solicitor members of the applicant body.

If you are giving information about more than one REL, RFL, EEL, other lawyer or non-deemed solicitor member please photocopy all of section 12 before completing

**You must answer all of these questions.**

Title	<input type="text"/>	Forename(s)	<input type="text"/>
Surname	<input type="text"/>	Former name(s)	<input type="text"/>
Date of birth	<input type="text"/>	Gender	<input type="text"/>
National Insurance number	<input type="text"/>		
Passport number/ Identity card number	<input type="text"/>		
Passport expiry date	<input type="text"/>		
Nationality	<input type="text"/>		
Second (dual) nationality (if applicable)	<input type="text"/>		
Third nationality (if applicable)	<input type="text"/>		
Fourth nationality (if applicable)	<input type="text"/>		
Country of Origin	<input type="text"/>		
Is the individual a citizen of the EU?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
If No, does the individual have the legal right to remain in the United Kingdom?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Does the individual have the legal right to work in the United Kingdom?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Visa Number	<input type="text"/>	Visa Expiry Date:	<input type="text"/>
If the answer is No to either of these two questions, please provide a full statement explaining the individual's current circumstances.			
<input type="text"/>			
To grant an application where an individual has no legal right to remain or work in the United Kingdom could be contrary to the public interest and Immigration Regulations.			

## Section 12 Continued - Registered European lawyer (REL), registered foreign lawyer (RFL), Exempt European Lawyer (EEL), other lawyer and non-deemed solicitor members

Main practising address (where the individual will be based)

Address line 1	<input type="text"/>	DX no	<input type="text"/>
Address line 2	<input type="text"/>	DX town	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Tel number	<input type="text"/>		

Name of previous SRA regulated firm (if applicable)      Date left previous SRA regulated firm (if applicable)

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Has this member been subject to, or affected by, any of the matters or events referred to in Regulation 3.1 of the SRA Practising Regulations 2011, since their last declaration to the SRA?

Yes  No

If YES, please provide a **FULL STATEMENT OF EVENTS** and supporting documentation.

## Section 12 Continued - Registered European lawyer (REL), registered foreign lawyer (RFL), Exempt European Lawyer (EEL), other lawyer and non-deemed solicitor members

Please confirm whether the individual is

A non deemed approved solicitor  RFL  REL  Exempt European Lawyer  other lawyer

**The following questions must be completed if the member is an other lawyer manager.**

Type of Lawyer e.g. Barrister, Legal Executive

Approved Regulator:

If the individual is an other lawyer please indicate whether the firm has obtained written confirmation from the approved regulator named above that the individual is authorised by that regulator, entitled to practise and not subject to a condition or other restriction which would preclude the individual from becoming a member? Yes  No

Please ensure the above written confirmation is attached Copy Attached

Professional and/or regulatory body of which the individual is a member:

Has the individual been disqualified from being a manager? Yes  No

If 'Yes' please provide details

**The following questions must be completed if the member is an Exempt European Lawyer**

Professional Title

Jurisdiction of qualification

Will the individual be based entirely at an office or offices outside England and Wales? Yes  No

Is the individual registered as a European lawyer with the Bar Standards Board? Yes  No

Is the individual a lawyer of England and Wales (whether or not entitled to practise)? Yes  No

## Section 12 Continued - Registered European lawyer (REL), registered foreign lawyer (RFL), Exempt European Lawyer (EEL), other lawyer and non-deemed solicitor members

Has the individual (if not a solicitor) at any time made an application to the SRA Yes  No

**If 'Yes' please provide:**

Application type  Reference Number of application:

Date of application:  Registration Number:

Outcome (i.e. pending / granted / granted with conditions / refused):

Please provide details including length of time and the role type/title in respect of all forms of employment, including self employment.

### **Current or Most Recent Employer**

Name of individual's employer:

Job Title:

Address Line 1:  Date employment started:

Address Line 2:  Date employment ended:

City/Town

County

Country

Postcode:

Does this employment involve the practise of law? Yes  No

## 12.1 Home Address

Please provide details of your home address and any previous addresses.

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>		
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Mobile No:	<input type="text"/>

## Previous Home Address

If you need to provide more than one home address to cover the five year period please use the next section.

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

## Previous Home Address

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

## 12.2 - Suitability Test

This part governs the SRA's determination of applications for the approval of an authorised body's managers and owners as pursuant to the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules).

### Fit and proper

The following statement is to be read by the candidate.

The SRA has a responsibility under the SRA Authorisation Rules to ensure that persons who hold certain roles within authorised bodies are fit and proper. The Suitability Test expresses the criteria you have to satisfy.

All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.

You must answer all the following questions. Convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (as amended) must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (this does not apply to managers or owners). For corporate persons/entities, the Rehabilitation of Offenders Act 1974 does not apply, but as convictions against corporate entities cannot be spent, you must disclose any and all convictions.

If you answer 'Yes' to any of the questions 1-8, you must provide:

- 1) a statement of events, setting out any exceptional circumstances
- 2) details of at least two referees
- 3) confirmation that there are no further issues

together with any other information specific to the issue(s) we require.

**The candidate has read and understood this statement**

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour.**

**The candidate must disclose any matters that have occurred in the UK and/or overseas.**

## Criminal offences

1. Has the candidate ever been convicted by a court of a criminal offence:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) for which they received a custodial or suspended sentence;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) involving dishonesty, fraud, perjury and/or bribery;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) associated with obstructing the course of justice;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) which demonstrated behaviour showing signs of discrimination towards others;                                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) associated with terrorism;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vi) which was racially aggravated;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vii) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ix) more than one criminal offence  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

2. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) been convicted by a court of a criminal offence not falling within 1 above;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) been included on the Violent and Sex Offender Register but in relation to the candidates inclusion on the Register, the candidate has not been convicted by a court of a criminal offence; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution for an offence involving dishonesty  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we are more likely than not to refuse your application.**

3. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) received a local warning from the police;                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution from the police for an offence not involving dishonesty; | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) received a Penalty Notice for Disorder (PND) from the police               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) received a final warning or reprimand from the police (youths only); and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) received a referral order from the courts (youths only).                     | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we may refuse your application.**

Is the candidate currently facing any criminal charges? Yes  No

**If the candidate answered 'Yes', they must disclose the details of the charge(s). We will not determine their application until they can confirm that the charge(s) has/have either been dropped or the outcome of their case is known.**

**Please attach all evidence to your completed application.**

## **Criminal offences continued**

### **Evidence and rehabilitation**

Refer to sections 7 and 8 of the Suitability Test within the SRA Handbook. The detailed evidence requirements are specified after each section of the test.

**If you have answered 'Yes' to questions 1 - 3 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s) such as sentencing remarks
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) any evidence of rehabilitation
- E) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)
- F) if you were fined, evidence of payment of fine(s). Reports can be obtained from the Court

The onus is on you and the candidate to provide any evidence you or the candidate consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Assessment offences

Refer to section 4 of the Suitability Test within the SRA Handbook.

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

- 4) Has the candidate ever committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence which amounts to plagiarism or cheating to gain advantage for themselves or others?

Yes  No

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

**If you have answered 'Yes' to question 4 you must provide:**

- A) a full statement of the event(s), setting out:
- any exceptional circumstances,
  - the extent to which you were aware of the rules and procedures governing the reference of material or the use of group work or collaborative material, and
  - the extent to which you could reasonably have been expected to realise that the offence did not constitute legitimate academic practice
- B) at least one independent report relating to the event(s) from the University or course provider, such as minutes from meetings or hearings
- C) details of at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Financial behaviour

Refer to section 5 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

5) Has the candidate ever been declared bankrupt, entered into any individual voluntary arrangements (IVA) or had a County Court Judgment (CCJ) issued against them?

Yes  No

**If the candidate answered 'Yes' it will raise a presumption that they cannot manage their finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.**

**If the candidate has answered 'Yes' to question 5 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Regulatory History

Refer to section 6 of the Suitability Test with the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement.**

Yes  No

6) Has the candidate ever:

(i.) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings; Yes  No

(ii.) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information Yes  No

(iii.) breached the requirements of a regulatory body Yes  No

(iv.) been refused registration by a regulatory body; and/or Yes  No

(v.) failed to comply with the requests of a regulatory body Yes  No

**If the candidate answered 'Yes' we will refuse your application unless there are exceptional circumstances**

7) (i.) Has the candidate ever been rebuked or reprimanded by or received a warning about their conduct from a regulatory body? Yes  No

**If the candidate answered 'Yes' we may refuse your application**

(ii.) Is the candidate currently facing any disciplinary proceeding(s) or investigation(s)? Yes  No

**If the candidate answered 'Yes' they must disclose details of the matter(s). We will not determine their application until they can confirm that the matter(s) has/have either been dropped or the outcome is known.**

If the candidate has answered 'Yes' to questions 6 or 7 you must provide:

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include documentation from the regulatory/professional body, minutes from hearings and meetings, confirmation of outcome(s), appeal details (if relevant) and any sanctions
- C) details of any disciplinary proceeding(s) or investigation(s) you may be facing. Please be aware that we will not determine your application until you can confirm that the matter(s) has/have either been dropped or the outcome of your case is known
- D) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- E) independent evidence of actions you have taken to satisfy any findings and/or sanctions

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Any other behaviour

Refer to section 3 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

8) Are there any other factors which may call into question the candidate's character and suitability?

Yes  No

Unless there are exceptional circumstances we will refuse the candidate's application if they have:

- (i.) been responsible for behaviour:  
(a) which is dishonest; (b) which is violent; (c) where there is evidence of discrimination towards others;
- (ii.) misused their position to obtain pecuniary advantage;
- (iii.) misused their position of trust in relation to vulnerable people; and/or
- (iv.) been responsible for other forms of behaviour which demonstrate that they cannot be relied upon to discharge their regulatory duties.

**If a candidate has answered 'Yes' to question 8 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s)
- C) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

9) Has the candidate ever been removed from the office of charity trustee by an Order of the Charities Act 1993?

Yes  No

**If Yes:** Please provide details:

10) Has the candidate ever been removed or disqualified as a company director?

Yes  No

**If Yes:** Please provide details:

## Any other behaviour continued

- 11) Has the candidate ever been a manager or shareowner of a body corporate which has been the subject of a winding up order, an administration or administration receivership, or has otherwise been wound-up or put into administration or has entered into a voluntary arrangement under the Insolvency Act 1986? Yes  No

**If Yes:** Please provide details

- 12) Has the candidate any previous conviction which is now spent for a criminal offence relating to bankruptcy, IVA's or other circumstances of insolvency? Yes  No

**If Yes:** Please provide details

- 13) Are there any other matters which call the candidate's fitness or or propriety into question? Yes  No

**If Yes:** Please provide details

- 14) Has the candidate committed an offence under the Companies Act 2006? Yes  No

**If Yes:** Please provide details

- 15) Is the candidate aware of any matters which relate to the honesty and integrity of any person they are related to, affiliated with, or act together with which may influence the candidate's authorised role within the authorised body? Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

- 16) Does or will the candidate have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the authorised body?

Yes  No

**If Yes:** Please provide details

- 17) Is the candidate a manager, partner, fee-earner or employee in any other business?

Yes  No

**If Yes:** Please provide details

- 18) Does the candidate intend to continue with any other business(es) if this application for approval is successful?

Yes  No

**If Yes:** Please provide details

- 19) Has the candidate been named in any complaints to their regulator or to any Ombudsman in the last 12 months?

Yes  No

**If Yes:** Please provide details

- 20) Has the candidate ever been disqualified in any capacity under Section 99 of the Legal Services Act 2007 or under the SRA Authorisation Rules?

Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

21) Has the candidate ever been disqualified from acting as a Head of Legal Practice or Head of Finance and Administration by the SRA or another approved regulator?

Yes

No

**If Yes:** Please provide details

## 12.3 - Candidate's Declaration

**Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA or significant information may lead to:**

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA.

The SRA Authorisation Rules require the candidate to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this form constitutes a proper application and that the act of submission is evidence of a binding signature.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and any other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the SRA Handbook. In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

Candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the results of that search to the SRA.

## 12.3 - Candidate's Declaration continued

### In making this application:

- I confirm that the information in this application about the authorised body and all candidates is correct and complete to the best of my knowledge and belief.
- I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject to and bound by the regulatory arrangements of the SRA.
- I authorise the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- I agree that the information I give or which becomes known because of this application and any consent given by me may be disclosed to the authorised body.
- I will provide all necessary consents for information to be given to the SRA to enable it to discharge its functions in accordance with its regulatory arrangements.
- I will notify the SRA as soon as I become aware that any information provided in this application has changed.
- I agree that information about any approval, as an authorised role holder including any conditions will be published in accordance with the SRA Publication Policy.
- In making this application I confirm, on the basis of due and diligent enquiry, that I am a fit and proper person.
- I agree that whilst resident or working in the UK, I will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.

Surname:  Forename(s):

SRA/Registration number:  Title:  Date of Birth:

Individual's signature  Date:

## Section 13 - Authorised non SRA firm, European Corporate Practice and non deemed authorised body members

Please provide details of any authorised non SRA firm, European Corporate Practice or any non deemed authorised bodies which are to be members of the firm in accordance with Rule 16.1 of the SRA Practice Framework Rules 2011. If you are giving information about more than one please photocopy this section before completing.

**You must answer all of these questions.**

Name of body	SRA number (if applicable)
<input type="text"/>	<input type="text"/>
Type of body (e.g. company, partnership, LLP or partnership with legal personality)	
<input type="text"/>	
Please tick one of the following. Is the body a:	
Non deemed recognised body <input type="checkbox"/>	Non deemed licensed body <input type="checkbox"/>
European Corporate Practice <input type="checkbox"/>	An authorised non SRA firm <input type="checkbox"/>
If the body is an authorised non SRA firm please name the approved regulator:	<input type="text"/>
Has the authorised non SRA firm or European Corporate Practice at any time applied to the SRA	Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'Yes', type of application	<input type="text"/>
Please provide the reference number or date of the application	<input type="text"/>
Outcome (i.e. granted/granted with conditions/pending/refused)	<input type="text"/>
Registration number	<input type="text"/>
If the body is a European Corporate Practice please confirm the professional and/or regulatory body of which it is a member	<input type="text"/>
If you are an incorporated body please provide details of your registered office	
Country of registration or incorporation <input type="text"/>	Date of incorporation <input type="text"/>
Address Line 1: <input type="text"/>	DX Number: <input type="text"/>
Address Line 2: <input type="text"/>	DX Town: <input type="text"/>
City/Town: <input type="text"/>	
County: <input type="text"/>	
Postcode: <input type="text"/>	
Email Address: <input type="text"/>	Tel No: <input type="text"/>
Website: <input type="text"/>	Fax No: <input type="text"/>
Practising styles and/or trading names utilised for this office:	<input type="text"/>

## Section 13 continued - Authorised non SRA firm, European Corporate Practice and non deemed authorised body members

Main office address (this should be the registered office if the body is a body corporate and should include the country in which the body was formed or incorporated).

Address line 1	<input type="text"/>	DX no	<input type="text"/>
Address line 2	<input type="text"/>	DX town	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Tel number	<input type="text"/>		

### 13.1 - Suitability Test

This part governs the SRA's determination of applications for the approval of an authorised body's managers and owners as pursuant to the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011.

#### Fit and proper

The SRA has a responsibility under the Legal Services Act 2007 to ensure that persons who hold certain roles within authorised bodies are fit and proper. The Suitability Test expresses the criteria you have to satisfy.

All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.

You must answer all the following questions. Convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (as amended) must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (this does not apply to managers or owners). For corporate persons/entities, the Rehabilitation of Offenders Act 1974 does not apply, but as convictions against corporate entities cannot be spent, you must disclose any and all convictions.

If you answer 'Yes' to any of the questions 1-8, you must provide:

- 1) a statement of events, setting out any exceptional circumstances
- 2) details of at least two referees
- 3) confirmation that there are no further issues

together with any other information specific to the issue(s) we require.

The candidate has read and understood this statement

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour.**

**The candidate must disclose any matters that have occurred in the UK and/or overseas.**

## Criminal offences

Refer to Section 1 of the Suitability Test within the SRA Handbook.

1. Has the candidate ever been convicted by a court of a criminal offence:

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| (i) involving dishonesty, fraud, perjury and/or bribery;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) associated with obstructing the course of justice;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) which demonstrated behaviour showing signs of discrimination towards others;                              | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) associated with terrorism;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) which was racially aggravated;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vi) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vii) more than one criminal offence  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

2. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) been convicted by a court of a criminal offence not falling within 1 above; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution for an offence involving dishonesty                            | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we are more likely than not to refuse your application.**

3. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) received a local warning from the police;                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution from the police for an offence not involving dishonesty; | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) received a Penalty Notice for Disorder (PND) from the police               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we may refuse your application.**

Is the candidate currently facing any criminal charges? Yes  No

**If the candidate answered 'Yes', they must disclose the details of the charge(s). We will not determine their application until they can confirm that the charge(s) has/have either been dropped or the outcome of their case is known.**

## **Evidence and rehabilitation**

Refer to Sections 7 and 8 of the Suitability Test within the SRA Handbook. The detailed evidence requirements are specified after each section of the test.

### **If you have answered 'Yes' to questions 1 - 3 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s) such as sentencing remarks
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) any evidence of rehabilitation
- E) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)
- F) if you were fined, evidence of payment of fine(s). Reports can be obtained from the Court

The onus is on you and the candidate to provide any evidence you or the candidate consider necessary and/or appropriate. However, should we consider that the candidate have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidates application if further evidence is not forthcoming.

## Financial behaviour

Refer to section 5 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

4. Has the candidate ever had a County Court Judgment (CCJ) issued against them?

Yes  No

**If the candidate answered 'Yes' it will raise a presumption that they cannot manage their finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.**

**If you have answered 'Yes' you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Regulatory History

Refer to Section 6 of the Suitability Test within the SRA Handbook.

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

The candidate has read and understood the above statement.

Yes  No

5. Has the candidate ever:

(i) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings;

Yes  No

(ii) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information

Yes  No

(iii) breached the requirements of a regulatory body

Yes  No

(iv) been refused registration by a regulatory body; and/or

Yes  No

(v) failed to comply with the requests of a regulatory body

Yes  No

**If the candidate answered 'Yes' we will refuse your application unless there are exceptional circumstances**

6. Has the candidate ever:

(i) been rebuked or reprimanded by or received a warning about their conduct from a regulatory body?

Yes  No

**If the candidate answered 'Yes' we may refuse your application**

(ii) Is the candidate currently facing any disciplinary proceeding(s) or investigation(s)?

Yes  No

**If the candidate answered 'Yes' they must disclose details of the matter(s). We will not determine their application until they can confirm that the matter(s) has/have either been dropped or the outcome is known.**

**You must provide on behalf of the candidate:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Any other behaviour

Refer to section 3 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

7. Are there any other factors which may call into question the candidate's character and suitability?

Yes  No

Unless there are exceptional circumstances we will refuse the candidate's application if they have:

- (i) been responsible for behaviour:
  - (a) which is dishonest;
  - (b) which is violent;
  - (c) where there is evidence of discrimination towards others;
- (ii) misused their position to obtain pecuniary advantage;
- (iii) misused their position of trust in relation to vulnerable people; and/or
- (iv) been responsible for other forms of behaviour which demonstrate that they cannot be relied upon to discharge their regulatory duties.

**You must provide on behalf of the candidate:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s)
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

8. Has the candidate ever been disqualified in any capacity under Section 99 of the LSA or Rule 8.11 of the SRA Authorisation Rules?

Yes  No

If 'Yes' Please provide details.

9. Has the candidate ever been removed from the office of charity trustee by an Order of the Charities Act 1993?

Yes  No

If 'Yes' Please provide details.

## Any other behaviour continued

10. Has the candidate ever been a manager or owner of a body corporate which has been the subject of a winding up order, an administration or administration receivership, or has otherwise been wound-up or put into administration or has entered into a voluntary arrangement under the Insolvency Act 1986?

Yes  No

If 'Yes' please provide details.

11. Has the candidate any previous conviction which is now spent for a criminal offence relating to insolvency?

Yes  No

If 'Yes' please provide details.

12. Is the candidate subject to a relevant insolvency event? (please see definition in the SRA handbook)

Yes  No

If 'Yes' please provide details.

13. Are there any other matters which call the candidate's fitness or propriety into question?

Yes  No

If 'Yes' please provide details.

## Any other behaviour continued

14. Has the candidate committed an offence under the Companies Act 2006?

Yes  No

If 'Yes' please provide details.

15. Is the candidate aware of any matters which relate to the honesty and integrity of any person or corporate body they are related to affiliated with or act together with which may influence the candidate's authorised role within the authorised body?

Yes  No

If 'Yes' please provide details.

16. Does or will the candidate have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the authorised body?

Yes  No

If 'Yes' please provide details.

17. Has the candidate been named in any complaints to their regulator or to any Ombudsman in the last 12 months?

Yes  No

If 'Yes' please provide details.

## 13.2 - Candidate's Declaration

**Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA or significant information may lead to:**

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA.

The SRA Authorisation Rules require the candidate to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this form constitutes a proper application and that the act of submission is evidence of a binding signature.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and any other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the SRA Handbook. In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

Candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the results of that search to the SRA.

### **In making this application:**

- The body confirms that the information in this application about the authorised body and all candidates is correct and complete to the best of its knowledge and belief.
- The body confirms that it understands the regulatory responsibilities of its proposed role as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject to and bound by the regulatory arrangements of the SRA.
- The body authorises the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- The body agrees that the information it gives or which becomes known because of this application and any consent given by it may be disclosed to the authorised body.

## Candidate's Declaration continued

- The body will provide all necessary consents for information to be given to the SRA to enable it to discharge its functions in accordance with its regulatory arrangements.
- The body notify the SRA as soon as it becomes aware that any information provided in this application has changed.
- The body agrees that information about any approval, as an authorised role holder including any conditions will be published in accordance with the SRA Publication Policy.
- In making this application the body confirms, on the basis of due and diligent enquiry, that it is a fit and proper person.

Surname:  Forename(s):

SRA/Registration number:  Title:  Date of Birth:

Individual's signature  Date:

Status within the corporate body

### 13.3 - Individual manager or owner details

If the corporate manager is an authorised non SRA firm, European Corporate Practice or a non deemed authorised body please provide details of any managers or owners within the body. If there is more than one manager or owner please photocopy this section.

Title	<input type="text"/>	Forename(s)	<input type="text"/>
Surname	<input type="text"/>	Former name(s)	<input type="text"/>
Date of birth	<input type="text"/>	Gender	<input type="text"/>
Type of role held	Manager <input type="checkbox"/>	Owner	<input type="checkbox"/>
If the individual is an owner, please indicate the interest holding in the form of percentage held		<input type="text"/>	
If the individual hold shares as a nominee please provide details			
<input type="text"/>			
National Insurance number	<input type="text"/>		
Passport number/ Identity card number	<input type="text"/>		
Passport expiry date	<input type="text"/>		
Nationality	<input type="text"/>		
Second (dual) nationality (if applicable)	<input type="text"/>		
Third nationality (if applicable)	<input type="text"/>		
Fourth nationality (if applicable)	<input type="text"/>		
Country of Origin	<input type="text"/>		
Is the individual a citizen of the EU?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
If No, does the individual have the legal right to remain in the United Kingdom?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Does the individual have the legal right to work in the United Kingdom?	Yes <input type="checkbox"/>	No	<input type="checkbox"/>
Visa number	<input type="text"/>	Visa Expiry date	<input type="text"/>
If the answer is No to either of these two questions, please provide a full statement explaining the individual's current circumstances.			
<input type="text"/>			
To grant an application where an individual has no legal right to remain or work in the United Kingdom could be contrary to the public interest and Immigration Regulations.			

## 13.3 - Individual manager or owner continued

### Current Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>		
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Mobile No:	<input type="text"/>

If you need to provide more than one home address to cover the required five year period please use the section below.

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

### 13.3 - Individual manager or owner continued

<b>Address (the address where the individual will work)</b>			
Name of the authorised body	<input type="text"/>		
Address line 1	<input type="text"/>	DX no	<input type="text"/>
Address line 2	<input type="text"/>	DX town	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Tel number	<input type="text"/>		
Has the individual been disqualified from being a manager?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Is the individual a lawyer? (For definition see SRA Handbook)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Type of lawyer	<input type="text"/>		
Is the individual entitled to practise?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Professional and/or regulatory body of which the individual is a member	<input type="text"/>		
Registration number	<input type="text"/>		
Is the individual dual qualified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If Yes, please provide details			
<input type="text"/>			
Has the individual at any time made any application to the SRA?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Type of application made	<input type="text"/>		
Please provide the reference number or approximate date of the application.	<input type="text"/>		
Outcome (i.e. pending / granted/ granted with conditions / refused )	<input type="text"/>		
Registration number	<input type="text"/>		

## 13.3 - Individual manager or owner continued

In order to assess the individual we need information on their work history and their professional interests of the individual. The individual will become known as the candidate for the purposes of the Suitability Test and the rest of this section. Please photocopy this page if you require additional space.

What is the candidate's profession(s)?	<input type="text"/>	
Please provide details including length of time and the role type/title in respect of all forms of employment, including self employment, for the last 5 years		
Name of candidate's current/last employer:	<input type="text"/>	
Job title:	<input type="text"/>	
SRA Number of employer (if applicable):	<input type="text"/>	Date employment started:
Address Line 1:	<input type="text"/>	<input type="text"/>
Address Line 2:	<input type="text"/>	Date employment ended (if applicable):
City/Town:	<input type="text"/>	<input type="text"/>
County:	<input type="text"/>	
Country:	<input type="text"/>	
Postcode:	<input type="text"/>	
Did this employment involve the practise of law?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 13.4 - Suitability Test

This part governs the SRA's determination of applications for the approval of an authorised body's managers and owners as pursuant to the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules).

### Fit and proper

The following statement is to be read by the candidate.

The SRA has a responsibility under the SRA Authorisation Rules to ensure that persons who hold certain roles within authorised bodies are fit and proper. The Suitability Test expresses the criteria you have to satisfy.

All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.

You must answer all the following questions. Convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (as amended) must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (this does not apply to managers or owners). For corporate persons/entities, the Rehabilitation of Offenders Act 1974 does not apply, but as convictions against corporate entities cannot be spent, you must disclose any and all convictions.

If you answer 'Yes' to any of the questions 1-8, you must provide:

- 1) a statement of events, setting out any exceptional circumstances
- 2) details of at least two referees
- 3) confirmation that there are no further issues

together with any other information specific to the issue(s) we require.

The candidate has read and understood this statement

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour.**

**The candidate must disclose any matters that have occurred in the UK and/or overseas.**

## **Criminal offences**

1. Has the candidate ever been convicted by a court of a criminal offence:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) for which they received a custodial or suspended sentence;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) involving dishonesty, fraud, perjury and/or bribery;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) associated with obstructing the course of justice;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) which demonstrated behaviour showing signs of discrimination towards others;                                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) associated with terrorism;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vi) which was racially aggravated;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vii) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ix) more than one criminal offence  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

2. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) been convicted by a court of a criminal offence not falling within 1 above;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) been included on the Violent and Sex Offender Register but in relation to the candidates inclusion on the Register, the candidate has not been convicted by a court of a criminal offence; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution for an offence involving dishonesty  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we are more likely than not to refuse your application.**

3. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) received a local warning from the police;                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution from the police for an offence not involving dishonesty; | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) received a Penalty Notice for Disorder (PND) from the police               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) received a final warning or reprimand from the police (youths only); and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) received a referral order from the courts (youths only).                     | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we may refuse your application.**

Is the candidate currently facing any criminal charges? Yes  No

**If the candidate answered 'Yes', they must disclose the details of the charge(s). We will not determine their application until they can confirm that the charge(s) has/have either been dropped or the outcome of their case is known.**

**Please attach all evidence to your completed application.**

## **Criminal offences continued**

### **Evidence and rehabilitation**

Refer to sections 7 and 8 of the Suitability Test within the SRA Handbook. The detailed evidence requirements are specified after each section of the test.

**If you have answered 'Yes' to questions 1 - 3 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s) such as sentencing remarks
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) any evidence of rehabilitation
- E) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)
- F) if you were fined, evidence of payment of fine(s). Reports can be obtained from the Court

The onus is on you and the candidate to provide any evidence you or the candidate consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Assessment offences

Refer to section 4 of the Suitability Test within the SRA Handbook.

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

- 4) Has the candidate ever committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence which amounts to plagiarism or cheating to gain advantage for themselves or others?

Yes  No

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

**If you have answered 'Yes' to question 4 you must provide:**

- A) a full statement of the event(s), setting out:
- any exceptional circumstances,
  - the extent to which you were aware of the rules and procedures governing the reference of material or the use of group work or collaborative material, and
  - the extent to which you could reasonably have been expected to realise that the offence did not constitute legitimate academic practice
- B) at least one independent report relating to the event(s) from the University or course provider, such as minutes from meetings or hearings
- C) details of at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Financial behaviour

Refer to section 5 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

5) Has the candidate ever been declared bankrupt, entered into any individual voluntary arrangements (IVA) or had a County Court Judgment (CCJ) issued against them?

Yes  No

**If the candidate answered 'Yes' it will raise a presumption that they cannot manage their finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.**

**If the candidate has answered 'Yes' to question 5 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Regulatory History

Refer to section 6 of the Suitability Test with the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement.**

Yes  No

6) Has the candidate ever:

(i.) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings;

Yes  No

(ii.) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information

Yes  No

(iii.) breached the requirements of a regulatory body

Yes  No

(iv.) been refused registration by a regulatory body; and/or

Yes  No

(v.) failed to comply with the requests of a regulatory body

Yes  No

**If the candidate answered 'Yes' we will refuse your application unless there are exceptional circumstances**

7) (i.) Has the candidate ever been rebuked or reprimanded by or received a warning about their conduct from a regulatory body?

Yes  No

**If the candidate answered 'Yes' we may refuse your application**

(ii.) Is the candidate currently facing any disciplinary proceeding(s) or investigation(s)?

Yes  No

**If the candidate answered 'Yes' they must disclose details of the matter(s). We will not determine their application until they can confirm that the matter(s) has/have either been dropped or the outcome is known.**

If the candidate has answered 'Yes' to questions 6 or 7 you must provide:

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include documentation from the regulatory/professional body, minutes from hearings and meetings, confirmation of outcome(s), appeal details (if relevant) and any sanctions
- C) details of any disciplinary proceeding(s) or investigation(s) you may be facing. Please be aware that we will not determine your application until you can confirm that the matter(s) has/have either been dropped or the outcome of your case is known
- D) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- E) independent evidence of actions you have taken to satisfy any findings and/or sanctions

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Any other behaviour

Refer to section 3 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

8) Are there any other factors which may call into question the candidate's character and suitability?

Yes  No

Unless there are exceptional circumstances we will refuse the candidate's application if they have:

- (i.) been responsible for behaviour:  
(a) which is dishonest; (b) which is violent; (c) where there is evidence of discrimination towards others;
- (ii.) misused their position to obtain pecuniary advantage;
- (iii.) misused their position of trust in relation to vulnerable people; and/or
- (iv.) been responsible for other forms of behaviour which demonstrate that they cannot be relied upon to discharge their regulatory duties.

**If a candidate has answered 'Yes' to question 8 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s)
- C) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

9) Has the candidate ever been removed from the office of charity trustee by an Order of the Charities Act 1993?

Yes  No

**If Yes:** Please provide details:

10) Has the candidate ever been removed or disqualified as a company director?

Yes  No

**If Yes:** Please provide details:

## Any other behaviour continued

- 11) Has the candidate ever been a manager or shareowner of a body corporate which has been the subject of a winding up order, an administration or administration receivership, or has otherwise been wound-up or put into administration or has entered into a voluntary arrangement under the Insolvency Act 1986? Yes  No

**If Yes:** Please provide details

- 12) Has the candidate any previous conviction which is now spent for a criminal offence relating to bankruptcy, IVA's or other circumstances of insolvency? Yes  No

**If Yes:** Please provide details

- 13) Are there any other matters which call the candidate's fitness or or propriety into question? Yes  No

**If Yes:** Please provide details

- 14) Has the candidate committed an offence under the Companies Act 2006? Yes  No

**If Yes:** Please provide details

- 15) Is the candidate aware of any matters which relate to the honesty and integrity of any person they are related to, affiliated with, or act together with which may influence the candidate's authorised role within the authorised body? Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

- 16) Does or will the candidate have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the authorised body?

Yes  No

**If Yes:** Please provide details

- 17) Is the candidate a manager, partner, fee-earner or employee in any other business?

Yes  No

**If Yes:** Please provide details

- 18) Does the candidate intend to continue with any other business(es) if this application for approval is successful?

Yes  No

**If Yes:** Please provide details

- 19) Has the candidate been named in any complaints to their regulator or to any Ombudsman in the last 12 months?

Yes  No

**If Yes:** Please provide details

- 20) Has the candidate ever been disqualified in any capacity under Section 99 of the Legal Services Act 2007 or under the SRA Authorisation Rules?

Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

21) Has the candidate ever been disqualified from acting as a Head of Legal Practice or Head of Finance and Administration by the SRA or another approved regulator?

Yes  No

**If Yes:** Please provide details

## 13.5 - Candidate's Declaration

**Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA or significant information may lead to:**

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA.

The SRA Authorisation Rules require the candidate to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this form constitutes a proper application and that the act of submission is evidence of a binding signature.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and any other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the SRA Handbook. In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

Candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the results of that search to the SRA.

## 13.5 - Candidate's Declaration continued

### In making this application:

- I confirm that the information in this application about the authorised body and all candidates is correct and complete to the best of my knowledge and belief.
- I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject to and bound by the regulatory arrangements of the SRA.
- I authorise the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- I agree that the information I give or which becomes known because of this application and any consent given by me may be disclosed to the authorised body.
- I will provide all necessary consents for information to be given to the SRA to enable it to discharge its functions in accordance with its regulatory arrangements.
- I will notify the SRA as soon as I become aware that any information provided in this application has changed.
- I agree that information about any approval, as an authorised role holder including any conditions will be published in accordance with the SRA Publication Policy.
- In making this application I confirm, on the basis of due and diligent enquiry, that I am a fit and proper person.
- I agree that whilst resident or working in the UK, I will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.

Surname:  Forename(s):

SRA/Registration number:  Title:  Date of Birth:

Individual's signature  Date:

## Section 14 - Compliance Officer for Legal Practice (COLP) and Compliance Officer for Finance and Administration (COFA)

The COLP and COFA has duties under the SRA Authorisation Rules and must be of sufficient seniority and in a position of sufficient responsibility to fulfil the role.

If your firm will have two separate individuals fulfilling these roles, please photocopy this section before completing.

**Your nominated Compliance Officer must complete this section.**

<b>Role Held</b>	COLP <input type="checkbox"/>	COFA <input type="checkbox"/>	BOTH <input type="checkbox"/>
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### Please provide details of the Compliance Officer

Title  Forename(s)

Surname  Former name(s)

Date of birth  Gender

National Insurance number

Passport number/ Identity card number

Passport expiry date

Nationality

Second (dual) nationality (if applicable)

Third nationality (if applicable)

Fourth nationality (if applicable)

Country of Origin

Is the individual a citizen of the EU? Yes  No

If No, does the individual have the legal right to remain in the United Kingdom? Yes  No

Does the individual have the legal right to work in the United Kingdom? Yes  No

Visa number  Visa Expiry date

If the answer is No to either of these two questions, please provide a full statement explaining the individual's current circumstances.

To grant an application where an individual has no legal right to remain or work in the United Kingdom could be contrary to the public interest and Immigration Regulations.

The COLP and COFA has duties set out in the SRA Authorisation Rules and must be of sufficient seniority and in a position of sufficient responsibility to fulfil the role.

In making your nomination of compliance officers, please attach the following if available:

- an organisation chart showing the structure of the applicant body including the position of the COLP and COFA within that structure. Attached  Not available
- details of the applicant body's governance structure including the position of the COLP and COFA within that structure. Attached  Not available
- a role profile setting out the role objectives and responsibilities for the compliance officer. Attached  Not available

Is the COLP role a full or part time position in the applicant body? Full Time  Part Time

Is the COFA role a full or part time position in the applicant body? Full Time  Part Time

If one or both of the positions are part time, please detail the hours and days to be worked by the compliance officer.

What other positions or responsibilities does the COLP and COFA have within the applicant body?

Total number of staff

Total number of non-lawyer fee earners

## 14.1 Home Address

Please provide details of your home address history for the past five years.

### Current Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>		
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Mobile No:	<input type="text"/>

If you need to provide more than one home address to cover the required five year period please use the section below.

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

### Previous Home Address:

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

**Previous Home Address:**

Address Line 1:	<input type="text"/>	Date From:	<input type="text"/>
Address Line 2:	<input type="text"/>	Date To:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>		

## 14.2 - Profession Details

We require details of the addresses where you will be working.

**Address 1:**

Address Line 1:	<input type="text"/>	DX Number:	<input type="text"/>
Address Line 2:	<input type="text"/>	DX Town:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Fax No:	<input type="text"/>

**Address 2:**

Address Line 1:	<input type="text"/>	DX Number:	<input type="text"/>
Address Line 2:	<input type="text"/>	DX Town:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Fax No:	<input type="text"/>

**Address 3:**

Address Line 1:	<input type="text"/>	DX Number:	<input type="text"/>
Address Line 2:	<input type="text"/>	DX Town:	<input type="text"/>
City/Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>		
Postcode	<input type="text"/>	Tel No:	<input type="text"/>
Email Address	<input type="text"/>	Fax No:	<input type="text"/>

Is the individual a lawyer of England and Wales or a registered European lawyer (REL) with the SRA or a European lawyer registered with the Bar Standards Board? Yes  No

**If YES:** Is the individual entitled to practise? Yes  No

Type of lawyer:  Registration Number:

Professional and/or regulatory body of which the individual is a member:

Is the individual a member of any other legal profession(s)? Yes  No

**If YES:** Type of lawyer:  Registration Number:

Professional and/or regulatory body of which the individual is a member:

Has the individual (if not a solicitor) at any time applied to the SRA? Yes  No

**If YES:** Date of application:  Reference Number:

Type of application made:  Registration Number:

Outcome (i.e. granted/granted with conditions/pending/refused):

Please select if any of the following applies to the individual:

- The individual is disqualified from being a manager of a body licensed by the SRA or any other approved regulator
- The individual has been struck off the roll
- The individual is suspended from practising as a solicitor
- The individual's practising certificate has been suspended whilst the individual is an undischarged bankrupt
- There is a direction in force in respect of Section 47 (2)(g) of the Solicitors Act 1974
- There is an order in force in respect of Section 43 of the Solicitors Act 1974

Is the individual regulated by any other regulator? Yes  No

If **YES**: Please provide details of the regulator

Is the individual also an intended manager of the applicant body? Yes  No

Is the individual also an intended employee of the applicant body? Yes  No

If **YES**: Employment Start Date:

Position/Status within the applicant body:

### 14.3 - Work History

In order to assess the individual we need information on the work history and the professional interests of the individual. Please provide details including length of time and the role type/title in respect of all forms of employment, including self employment, for the last 5 years.

What is the individual's profession:

**Current or Most Recent Employer:**

Name of individual's employer:

Job Title:

Address Line 1:  Date employment started:

Address Line 2:

City/Town:  Date employment ended:

County:

Country:

Postcode:

Did this employment involve the practise of law? Yes  No

**Previous Employer:**

Name of individual's employer:

Job Title:

Address Line 1:

Date employment started:

Address Line 2:

City/Town:

Date employment ended:

County:

Country:

Postcode:

Did this employment involve the practise of law? Yes  No

**Previous Employer:**

Name of individual's employer:

Job Title:

Address Line 1:

Date employment started:

Address Line 2:

City/Town:

Date employment ended:

County:

Country:

Postcode:

Email Address:

Did this employment involve the practise of law? Yes  No

Has the individual ever managed or supervised staff?

Yes

No

**If YES:** Please provide details:

Has the individual ever owned or managed a business alone or with others?

Yes

No

**If YES:** Please provide details:

Has the individual ever managed or supervised an office?

Yes

No

**If YES:** Please provide details:

Would the individual like to provide additional details of any professional experience and/or employment that the individual would want to be taken into account?

Yes  No

**If YES:** Please provide details:

**For the COFA candidate, please provide a summary of the individual's experience and knowledge of managing finance, to include**

- **billing and recovering**
- **computerisation**
- **preparing budgets**
- **controlling costs**
- **financial and management information.**
- **SRA Account Rules**

## 14.4 - Professional Interests

Will the individual have a significant interest in, or own a separate business which conducts prohibited separate business activities?

Yes  No

If **YES**: Please provide the following details in respect of each of the businesses:

Please identify the separate business(es)	Please describe the nature of the business and state whether the individual intends to continue with that business if this application for authorisation is successful.	Is this business a member of any trade association? If YES: Name of trade association:

Will the individual be connected with or actively participate in a separate business which conducts prohibited separate business activities?

Yes  No

Please identify the separate business(es)	Please describe the nature of the business and state whether the individual intends to continue with that business if this application for authorisation is successful.	Is this business a member of any trade association? If YES: Name of trade association:

Please state whether the individual intends to continue with any other business not yet disclosed if this application for approval is successful.

Yes  No

If **YES**: Please provide details

Is this business a member of any trade association?

Yes  No

If **YES**: Name:

## 14.5 - Suitability Test

This part governs the SRA's determination of applications for the approval of an authorised body's managers and owners as pursuant to the SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules).

### Fit and proper

The following statement is to be read by the candidate.

The SRA has a responsibility under the SRA Authorisation Rules to ensure that persons who hold certain roles within authorised bodies are fit and proper. The Suitability Test expresses the criteria you have to satisfy.

All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.

You must answer all the following questions. Convictions which are "spent" under the Rehabilitation of Offenders Act 1974 (as amended) must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (this does not apply to managers or owners). For corporate persons/entities, the Rehabilitation of Offenders Act 1974 does not apply, but as convictions against corporate entities cannot be spent, you must disclose any and all convictions.

If you answer 'Yes' to any of the questions 1-8, you must provide:

- 1) a statement of events, setting out any exceptional circumstances
- 2) details of at least two referees
- 3) confirmation that there are no further issues

together with any other information specific to the issue(s) we require.

**The candidate has read and understood this statement**

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour.**

**The candidate must disclose any matters that have occurred in the UK and/or overseas.**

## Criminal offences

1. Has the candidate ever been convicted by a court of a criminal offence:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) for which they received a custodial or suspended sentence;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) involving dishonesty, fraud, perjury and/or bribery;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) associated with obstructing the course of justice;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) which demonstrated behaviour showing signs of discrimination towards others;                                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) associated with terrorism;   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vi) which was racially aggravated;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (vii) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ix) more than one criminal offence  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

2. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) been convicted by a court of a criminal offence not falling within 1 above;  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) been included on the Violent and Sex Offender Register but in relation to the candidates inclusion on the Register, the candidate has not been convicted by a court of a criminal offence; and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution for an offence involving dishonesty  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we are more likely than not to refuse your application.**

3. Has the candidate ever:

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| (i) received a local warning from the police;                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) accepted a caution from the police for an offence not involving dishonesty; | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) received a Penalty Notice for Disorder (PND) from the police               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) received a final warning or reprimand from the police (youths only); and/or | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) received a referral order from the courts (youths only).                     | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**If the candidate has answered 'Yes', we may refuse your application.**

Is the candidate currently facing any criminal charges? Yes  No

**If the candidate answered 'Yes', they must disclose the details of the charge(s). We will not determine their application until they can confirm that the charge(s) has/have either been dropped or the outcome of their case is known.**

**Please attach all evidence to your completed application.**

## **Criminal offences continued**

### **Evidence and rehabilitation**

Refer to sections 7 and 8 of the Suitability Test within the SRA Handbook. The detailed evidence requirements are specified after each section of the test.

**If you have answered 'Yes' to questions 1 - 3 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s) such as sentencing remarks
- C) details of at least two independent professional people (of which one should preferably be from an employer) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) any evidence of rehabilitation
- E) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)
- F) if you were fined, evidence of payment of fine(s). Reports can be obtained from the Court

The onus is on you and the candidate to provide any evidence you or the candidate consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Assessment offences

Refer to section 4 of the Suitability Test within the SRA Handbook.

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

- 4) Has the candidate ever committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence which amounts to plagiarism or cheating to gain advantage for themselves or others?

Yes  No

**If the candidate has answered 'Yes' we will refuse your application unless there are exceptional circumstances.**

**If you have answered 'Yes' to question 4 you must provide:**

- A) a full statement of the event(s), setting out:
- any exceptional circumstances,
  - the extent to which you were aware of the rules and procedures governing the reference of material or the use of group work or collaborative material, and
  - the extent to which you could reasonably have been expected to realise that the offence did not constitute legitimate academic practice
- B) at least one independent report relating to the event(s) from the University or course provider, such as minutes from meetings or hearings
- C) details of at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- D) documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s)

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Financial behaviour

Refer to section 5 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

5) Has the candidate ever been declared bankrupt, entered into any individual voluntary arrangements (IVA) or had a County Court Judgment (CCJ) issued against them?

Yes  No

**If the candidate answered 'Yes' it will raise a presumption that they cannot manage their finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.**

**If the candidate has answered 'Yes' to question 5 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome
- C) details of at least two independent professional people who know you well, are familiar with the event(s) being considered, and have given their consent to be contacted on your behalf for references
- D) a credit report, no more than one month old at the date you make this application, through Experian or Equifax
- E) independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

**Please attach all evidence to your completed application.**

## Regulatory History

Refer to section 6 of the Suitability Test with the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement.**

Yes  No

6) Has the candidate ever:

(i.) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings; Yes  No

(ii.) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information Yes  No

(iii.) breached the requirements of a regulatory body Yes  No

(iv.) been refused registration by a regulatory body; and/or Yes  No

(v.) failed to comply with the requests of a regulatory body Yes  No

**If the candidate answered 'Yes' we will refuse your application unless there are exceptional circumstances**

7) (i.) Has the candidate ever been rebuked or reprimanded by or received a warning about their conduct from a regulatory body? Yes  No

**If the candidate answered 'Yes' we may refuse your application**

(ii.) Is the candidate currently facing any disciplinary proceeding(s) or investigation(s)? Yes  No

**If the candidate answered 'Yes' they must disclose details of the matter(s). We will not determine their application until they can confirm that the matter(s) has/have either been dropped or the outcome is known.**

If the candidate has answered 'Yes' to questions 6 or 7 you must provide:

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s), to include documentation from the regulatory/professional body, minutes from hearings and meetings, confirmation of outcome(s), appeal details (if relevant) and any sanctions
- C) details of any disciplinary proceeding(s) or investigation(s) you may be facing. Please be aware that we will not determine your application until you can confirm that the matter(s) has/have either been dropped or the outcome of your case is known
- D) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references
- E) independent evidence of actions you have taken to satisfy any findings and/or sanctions

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

## Any other behaviour

Refer to section 3 of the Suitability Test within the SRA Handbook

**All material information relating to the candidate's application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. The candidate must disclose any matters that have occurred in the UK and/or overseas.**

**The candidate has read and understood the above statement**

Yes  No

8) Are there any other factors which may call into question the candidate's character and suitability?

Yes  No

Unless there are exceptional circumstances we will refuse the candidate's application if they have:

- (i.) been responsible for behaviour:  
(a) which is dishonest; (b) which is violent; (c) where there is evidence of discrimination towards others;
- (ii.) misused their position to obtain pecuniary advantage;
- (iii.) misused their position of trust in relation to vulnerable people; and/or
- (iv.) been responsible for other forms of behaviour which demonstrate that they cannot be relied upon to discharge their regulatory duties.

**If a candidate has answered 'Yes' to question 8 you must provide:**

- A) a full statement of the event(s), setting out any exceptional circumstances
- B) at least one independent report relating to the event(s)
- C) details of at least two independent professional people who know you well, are familiar with the events being considered, and have given their consent to be contacted on your behalf for references

The onus is on the candidate to provide any evidence they consider necessary and/or appropriate. However, should we consider that the candidate has provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse the candidate's application if further evidence is not forthcoming.

9) Has the candidate ever been removed from the office of charity trustee by an Order of the Charities Act 1993?

Yes  No

**If Yes:** Please provide details:

10) Has the candidate ever been removed or disqualified as a company director?

Yes  No

**If Yes:** Please provide details:

## Any other behaviour continued

- 11) Has the candidate ever been a manager or shareowner of a body corporate which has been the subject of a winding up order, an administration or administration receivership, or has otherwise been wound-up or put into administration or has entered into a voluntary arrangement under the Insolvency Act 1986? Yes  No

**If Yes:** Please provide details

- 12) Has the candidate any previous conviction which is now spent for a criminal offence relating to bankruptcy, IVA's or other circumstances of insolvency? Yes  No

**If Yes:** Please provide details

- 13) Are there any other matters which call the candidate's fitness or or propriety into question? Yes  No

**If Yes:** Please provide details

- 14) Has the candidate committed an offence under the Companies Act 2006? Yes  No

**If Yes:** Please provide details

- 15) Is the candidate aware of any matters which relate to the honesty and integrity of any person they are related to, affiliated with, or act together with which may influence the candidate's authorised role within the authorised body? Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

- 16) Does or will the candidate have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the authorised body?

Yes  No

**If Yes:** Please provide details

- 17) Is the candidate a manager, partner, fee-earner or employee in any other business?

Yes  No

**If Yes:** Please provide details

- 18) Does the candidate intend to continue with any other business(es) if this application for approval is successful?

Yes  No

**If Yes:** Please provide details

- 19) Has the candidate been named in any complaints to their regulator or to any Ombudsman in the last 12 months?

Yes  No

**If Yes:** Please provide details

- 20) Has the candidate ever been disqualified in any capacity under Section 99 of the Legal Services Act 2007 or under the SRA Authorisation Rules?

Yes  No

**If Yes:** Please provide details

## Any other behaviour continued

21) Has the candidate ever been disqualified from acting as a Head of Legal Practice or Head of Finance and Administration by the SRA or another approved regulator?

Yes

No

**If Yes:** Please provide details

## 14.6 - Compliance Officer Declaration

Please read the notes before completing this section. If your firm will have two separate individuals fulfilling these roles, please photocopy this declaration before completing.

**Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA or significant information may lead to:**

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA.

The SRA Authorisation Rules require the candidate to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this form constitutes a proper application and that the act of submission is evidence of a binding signature.

When a compliance officer is responsible for reporting matters to the SRA, as set out in the SRA Authorisation Rules, failing to inform the SRA in accordance with these rules is a breach.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and any other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the SRA Handbook. In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

Candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the results of that search to the SRA.

**In making this application:**

- I confirm that I have read and understood the guidance notes and that the information in this application about the applicant body and all candidates is correct and complete to the best of my knowledge and belief.
- I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject to and bound by the regulatory arrangements of the SRA.
- I authorise the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- I agree that the information I give or which becomes known because of this application and any consent given by me may be disclosed to the applicant body.
- I will provide all necessary consents for information to be given to the SRA to enable it to discharge its functions in accordance with its regulatory arrangements.
- I will notify the SRA as soon as I become aware that any information provided in this application has changed.
- I agree that information about any approval, as an authorised role holder including any conditions will be published in accordance with the SRA publication policy.
- In making this application I confirm, on the basis of due and diligent enquiry, that I am a fit and proper person.
- I agree that whilst resident or working in the UK, I will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.
- I consent to the nomination of the role of Compliance Officer for Legal Practice.
- I consent to the nomination of the role Compliance Officer for Finance and Administration.

Surname:  Forename(s):

SRA/Registration number:  Title:  Date of Birth:

Signature:  Date:

## Section 15 - Solicitor / registered European lawyers (REL) / registered foreign lawyers (RFL) employees

Please provide details of any prospective solicitor/REL/RFL employees.

If you are giving information about more than two such individuals, please photocopy this section before completing.

Title	Surname	Forename(s)	SRA number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Status within the applicant body		Main practising address (where the individual will be based)	
<input type="text"/>		<input type="text"/>	
		<input type="text"/>	
Name of previous/current firm		Date left previous firm (if applicable)	
<input type="text"/>		<input type="text"/>	
<p>Has this employee, been subject to, or affected by, any of the matters or events referred to in Regulation 3.1 of the SRA Practising Regulations 2011, since their last declaration to the SRA (See notes)</p> <p>If 'Yes' please provide a <b>FULL STATEMENT OF EVENTS</b> and supporting documentation</p> <p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p>			
<input type="text"/>			

Title	Surname	Forename(s)	SRA number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Status within the applicant body		Main practising address (where the individual will be based)	
<input type="text"/>		<input type="text"/>	
		<input type="text"/>	
Name of previous/current firm		Date left previous firm (if applicable)	
<input type="text"/>		<input type="text"/>	
<p>Has this employee, been subject to, or affected by, any of the matters or events referred to in Regulation 3.1 of the SRA Practising Regulations 2011, since their last declaration to the SRA (See notes)</p> <p>If 'Yes' please provide a <b>FULL STATEMENT OF EVENTS</b> and supporting documentation</p> <p style="text-align: right;">Yes <input type="checkbox"/> No <input type="checkbox"/></p>			
<input type="text"/>			

## Section 16 - Other information

### 1. Associations

#### Introductions and referrals

Does the LLP have or intend, in its first twelve months, to enter into arrangements with third parties for the introduction of work to the LLP?

Yes  No

If "Yes", please provide in respect of each introducer – name of introducer; date or intended date of commencement of arrangement (if known); type of work; percentage of the LLP's total fee income expected to arise from the arrangement; the total sum or other consideration expected to be paid or given to the introducer (within the first twelve months).

#### Sharing fees

Does the LLP have or intend, in its first twelve months, to enter into arrangements with third parties:

a) to share (directly or indirectly) the LLP's professional fees with another person or business?

Yes  No

b) to receive a share (directly or indirectly) of the professional fees of another person or business?

Yes  No

If "Yes" to a) or b), please provide in respect of each arrangement – name of person or business; date or intended date of commencement of arrangement (if known); nature of the arrangement; type of work; percentage of the firm's total fee income expected to be paid to or arise from such arrangements; the total sum or other consideration expected to be paid, given to or received from each person or business (within the first twelve months).

### 2. Involvement/influence

Does or will the LLP or any member have any arrangements, relationships or connections with third parties that may allow another party to have any influence over the running of the LLP?

Yes  No

If "Yes", please provide details in respect of each relevant member.

### 3. Other roles

Will any of the members be engaged in any activities outside of the LLP which could detract from their responsibilities as a member of this LLP?

Yes  No

If "Yes", please provide details in respect of each relevant member.

### 4. Reliance on single income source

Does the LLP anticipate that any single client, group of clients or referral source will account for more than 20% of your estimated total gross fees for the first twelve months of practice?

Yes  No

## Section 17 - Turnover

Please read the notes before completing this section.

Authorised bodies are required to pay periodical fees (normally annually) which are calculated using the firm's turnover. The way the turnover is determined will vary depending on whether the LLP, on approval, is a New Authorised Body or a Successor Authorised Body. (See notes)

Please complete this section to provide an appropriate turnover figure.

1. Will this LLP, on approval, be a New Authorised Body (i.e. not a Successor Authorisation Body or a change in status)? Yes  No

If "Yes" please provide an estimated turnover figure for the first twelve months of practice.

Numerical: £ 

Millions	Thousands	Hundreds
□ □ □	□ □ □	□ □ □

 ,

Please write out the LLP estimated turnover figure for the first twelve months of practice (as above) in words:

Please provide the basis upon which the LLP has made the estimate on a separate sheet.

2. Will this LLP, on approval, be a Successor Authorised Body? Yes  No

If "Yes" has a Notice of Succession been submitted? Yes  No

Notice of Succession submission date

If "No" please provide an explanation on a separate sheet.

3. Is this LLP an existing authorised body which is changing its legal status (e.g. partnership to LLP)? Yes  No

If "Yes" please provide your authorised body's total turnover from your last complete accounting period prior to 1 November 2011 as if there were no change in status. This must comply with the SRA's definition of turnover, which is referred to in the notes.

Numerical: £ 

Millions	Thousands	Hundreds
□ □ □	□ □ □	□ □ □

 ,

Please write out the authorised body's total turnover (as above) in words:

Please confirm the accounting period to which the above turnover figure relates:

From  /  /  To  /  /

Please tick one of the following. The above turnover figure is:

Based on closed accounts

An estimate as the accounts for the period above have not yet been closed

An estimate for the first twelve months as the firm commenced trading after 1 November 2010

Has your accountant(s) provided written confirmation of the above figure?

The SRA may request a copy of this confirmation.

## Section 18 - Applicant Body Declaration

Please read the notes before completing this section.

Knowingly or recklessly giving the SRA information, which is false or misleading, or failing to inform the SRA of significant information may lead to:

- the application for authorisation being rejected;
- the application for approval of an authorised role holder being rejected;
- an authorisation being revoked;
- approval being withdrawn; and/or
- disciplinary action being taken by the SRA

The SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 require the applicant body to ensure that all information is correct and complete and to notify the SRA as soon as it becomes aware or has information that reasonably suggests that it has or may have provided the SRA with information, which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed.

The submission of this document constitutes a proper application and that the act of submission is evidence of a binding signature.

When a compliance officer is responsible for reporting matters to the SRA, as set out in the SRA Authorisation Rules, failing to inform the SRA in accordance with these rules is a breach.

It should not be assumed that information is known to the SRA merely because it is in the public domain or has previously been disclosed to the SRA or another regulatory body.

If there is any doubt about the relevance of information, it should be included. For the purposes of complying with the Data Protection Act 1998, any personal information provided in this application may be used by the SRA to discharge its statutory functions under the Legal Services Act 2007, the Solicitors Act 1974 and the Administration of Justice Act 1985 and other relevant legislation.

The SRA may make such enquiries, and seek further information, as it considers appropriate in the course of verifying information, as it considers appropriate in the course of verifying information about this application and to ensure compliance with the Handbook.

In performing these checks, personal information given in the application may be disclosed to registered Credit Reference Agencies, which may keep a record of that information.

I confirm that:

- I am a Solicitor or REL
- I am a member (or manager of a legally qualified body which will be a member of the LLP)
- I have read and understood the notes and that the information in this application about the applicant body and all candidates is correct and complete to the best of my knowledge and belief

I have authority to make this application and the declarations on behalf of the applicant body and all candidates named in this application.

The applicant body, all candidates and all employees understand the regulatory responsibilities of their proposed roles as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject and bound by the regulatory arrangements of the SRA

The applicant body complies with the SRA Practice Framework Rules 2011.

I have obtained the necessary consents from each of the candidates for disclosure by the SRA to the applicant body of the results of any checks or any information and any documents held in respect of any candidate.

The SRA will be notified as soon as any information provided in this application has changed.

Any information about the authorisation and any approval of candidates including any conditions will be published in accordance with the SRA Publication Policy.

In making this application the applicant body will ensure that any candidate whilst resident or working in the UK will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.

There are no members other than those named in this application.

All bodies referred to in this application are legally qualified or authorised bodies as defined by the SRA Handbook.

**In making this application on behalf of the applicant body:**

- I confirm that I have read and understood the guidance notes and that the information in this application about the applicant body and all candidates is correct and complete to the best of my knowledge and belief
- I confirm that I have authority to make this application and the declarations on behalf of the applicant body and all candidates named in this application
- The applicant body, all candidates and all employees understand the regulatory responsibilities of their proposed roles as set out in the Legal Services Act 2007 and the SRA Handbook and agree to be subject and bound by the regulatory arrangements of the SRA.
- The applicant body complies with Rule 14 of the SRA Practice Framework Rules 2011.
- I have obtained the necessary consents from each of the candidates for disclosure by the SRA to the applicant body of the results of any checks or any information and any documents held in respect of any candidate.
- The SRA will be notified as soon as any information provided in this application has changed.
- I authorise the SRA to make such enquiries and seek such further information, as it considers appropriate in the course of verifying information about this application.
- The applicant body will provide all necessary permissions to allow for information to be given to the SRA.
- In making the application the applicant body believes on the basis of due and diligent enquiry that each candidate is a fit and proper person.
- In making this application the applicant body will ensure that any candidate whilst resident or working in the UK will hold the appropriate and valid documentation necessary in order to comply with Immigration Regulations and statute.

**Please provide details of the Authorised Individual making this declaration**

Surname:	<input type="text"/>	Forename(s):	<input type="text"/>		
SRA/Registration number:	<input type="text"/>	Title:	<input type="text"/>	Date of Birth:	<input type="text"/>
Individual's signature	<input type="text"/>	Date	<input type="text"/>		

**Please note under section 9 of the SRA Authorisation Rules and under section 7.1 of the SRA Practising Regulations 2011 the SRA may impose one or more conditions on an LLP's authorisation, a solicitor's practising certificate, or on the registration of a European lawyer.**

**Section 19 - Fees**

Applicant body fee	<input type="text"/>
Compensation Fund contribution	<input type="text"/>
Total fees due and enclosed	<input type="text"/>

**Section 20 - Returning the form**

Please return the form, supporting documents and list of enclosures to:

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

or DX 19114  
Redditch

**Section 21 - Application checklist**

To help us process your application please check that:

- The declaration is signed and dated.
- Indemnity insurance details are provided, including the policy number and qualifying insurer and copy of the held cover letter or quote.
- Any additional sheets are labelled and attached securely to the form.
- Full payment (either cheque or methods of payment form) has been attached to this application.