



### Regulation 3 applications for solicitors and registered European lawyers (RELS), and Regulation 6 notifications for registered foreign lawyers (RFLs)

#### Solicitors and RELs

If you are subject to regulation 3 of the SRA Practising Regulations 2009, then please use this form to notify the Solicitors Regulation Authority (SRA) of your intention to apply for a practising certificate (PC) or registration to be an REL.

#### RFLs

Under regulation 6.2(a), RFLs applying for renewal of their registration must declare any matters in regulation 3 that apply to them. Please use this form to notify the SRA of such events.

**To assist you in completing this form please refer to the notes which can be found at [www.sra.org.uk/reg3](http://www.sra.org.uk/reg3).**

Please do not use liquid paper for any amendments as it is helpful for us to see any changes. Please make sure that the pre-printed information is correct, amend if necessary and give dates of any changes.

#### 1. Personal details

Surname	<input type="text"/>	SRA no.	<input type="text"/>
Forename(s)	<input type="text"/>	Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>
Address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
	Telephone	<input type="text"/>	
	E-mail address	<input type="text"/>	

## 2. PC/registration

2.1 Do you want to apply for a PC/registration?

Yes  No

If "No", please give the date you ceased to practise and the reasons for not renewing e.g. retirement, unemployment etc. You may then go directly to section 7.

/  /

2.2 If "Yes", and you do not currently hold a PC, or have a registration, when do you wish your PC/registration to commence?

/  /

2.3 If you have conditions on your PC/registration do you wish us to consider removing them?

Yes  No

If "yes", please give your reasons below.

## 3. SRA Practising Regulations 2009

This section must be completed in all cases.

Our records show that the following paragraphs of regulation 3.1 apply to you. If you are aware of any further paragraphs that apply to you, then please enter the details below even if you believe the SRA to be aware of this information. If this section is not pre-populated then please refer to the notes.

#### 4. Character and suitability to act as a solicitor/REL/RFL

This section must be completed in all cases

You will need to refer to the notes before completing this section.

Please note convictions which are 'spent' under the Rehabilitation of Offenders Act 1974 must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendment) (England and Wales) Order 2008.

	Yes	No
1. Have you ever been committed to prison in civil or criminal proceedings?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have you ever been disqualified from being a company director (including by way of undertaking)?	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you ever been removed from the office of charity trustee or trustee for a charity by an order within the terms of Section 72(1)(d) of the Charities Act 1993?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are you an undischarged bankrupt?	<input type="checkbox"/>	<input type="checkbox"/>
5. Have you ever been adjudged bankrupt and discharged?	<input type="checkbox"/>	<input type="checkbox"/>
6. Have you ever entered into an individual voluntary arrangement or a partnership voluntary arrangement under the Insolvency Act 1986?	<input type="checkbox"/>	<input type="checkbox"/>
7. Have you ever been a manager of a recognised body which has entered into a voluntary arrangement under the Insolvency Act 1986?	<input type="checkbox"/>	<input type="checkbox"/>
8. Have you ever been a director of a company or a member of an LLP which has been the subject of a winding up order, an administration order or administrative receivership, or has entered into a voluntary arrangement under the Insolvency Act 1986, or has been otherwise wound up or put into administration in circumstances of insolvency?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do you lack capacity (within the meaning of the Mental Capacity Act 2005) and powers under sections 15 to 20 or section 48 of that Act are exercisable in relation to them?	<input type="checkbox"/>	<input type="checkbox"/>
10. Are you subject to outstanding judgments involving the payment of money?	<input type="checkbox"/>	<input type="checkbox"/>
11. Are you currently charged with an indictable offence, or have you been convicted of an indictable offence or any offence under the Solicitors Act 1974, the Financial Services and Markets Act 2000, the Immigration and Asylum Act 1999 or the Compensation Act 2006?	<input type="checkbox"/>	<input type="checkbox"/>
12. Have you ever been the subject of an equivalent circumstance in another jurisdiction to any of the above?	<input type="checkbox"/>	<input type="checkbox"/>
13. Have you ever been the subject of an order under section 43 of the Solicitors Act 1974?	<input type="checkbox"/>	<input type="checkbox"/>
14. Have you ever been involved in other conduct which calls into question your honesty, integrity or respect for law?	<input type="checkbox"/>	<input type="checkbox"/>

**If you have answered "Yes" to any of the above, please provide a FULL STATEMENT OF EVENTS together with supporting documentation if you have not disclosed the information previously or if the regulation 3.1 paragraph is not detailed in section 3.**

## 5. Applications where Regulation 3.1 (j) and/or (k) apply

This section must be completed by any solicitor/REL/RFL where regulation 3.1 (j) and/or (k) applies. Please continue on a separate sheet if necessary.

5.1 What is the date of the voluntary arrangement/bankruptcy order/winding up order or resolution/administrative order/administrative receivership?  /  /

Please attach a copy.

5.2 If the event relates to a recognised body, please specify its name and its SRA/registration number.

5.3 If the event refers to a body not regulated by the SRA, please specify its name and, if applicable, its registration number.

5.4 If the event relates to an authorised non-SRA firm, please specify the approved regulator.

5.5 As at the date in 5.1 above, what were the total liabilities?

£

5.6 Were there any liabilities to clients? If "Yes", attach a schedule showing the liabilities to each individual client and the amount each has received on account of that liability.

Yes  No

5.7 What distribution to creditors has been paid or is expected to be paid?

5.8 Please give brief details of the background to the bankruptcy/insolvency.

5.9 If you have entered into a voluntary arrangement have the terms been fulfilled in every respect? (If "NO", state why not and in what respects they have not been fulfilled).

Yes  No

5.10 If you were adjudged bankrupt, has it been discharged?  
If "yes", please attach your certificate of discharge.

Yes  No

5.11 Are you subject to a bankruptcy/restriction order?  
if "yes", please explain why and attach a copy.

Yes  No

5.12 In relation to any other form of insolvency, please give details of the current position.

## 6. Solicitors/REs/RFLs who do not hold a current PC or have a current registration

Have you practised or been held out as a solicitor/REL/RFL since you last held a PC or had registration?

Yes  No

If "Yes" please provide details on a separate sheet.

## 7. Declaration

This declaration must be completed in all cases. Please read the notes before completing this section.

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

Your PC/registration could be revoked if granted as a result of error or fraud.

Full name

Signature

Date

Please note under 4.1 of the SRA Recognised Bodies Regulation and under 6.1 and 6.2 of the SRA Practising Regulations the SRA may impose one or more conditions on a recognised body's recognition, a solicitor's practising certificate, the registration of a European lawyer, and on the registration of a foreign lawyer.

## 8. Fees - a fee is payable **only** for applications and notifications made under regulation 3.1.(c) (see notes)

I enclose payment for £200 made payable to the Law Society as regulation 3.1(c) applies.

Yes  No

## 9. Application checklist

To help us process your application, please check that:

The declaration has been signed and dated.

Full payment if required under Reg 3.1(c) (either cheque or methods of payment form) has been attached to this application.

Any additional information has been labelled and securely attached to the form.

Sections 3 & 4 have been completed in full.

