

## Application for admission under Article 10 of the European Establishment Directive

The Solicitors Regulation Authority (SRA) deals with all regulatory and disciplinary matters. We set, monitor and enforce standards for solicitors admitted in E&W.

If you need any assistance completing this form please call the Contact Centre on 0370 606 2555. Our lines are open 08.00 - 18.00, Monday, Wednesday, Thursday, Friday and 09.30 -18.00 Tuesday. If you are calling from overseas please call +(0)121 3296800. Alternatively by e-mail [contactcentre@sra.org.uk](mailto:contactcentre@sra.org.uk). Please note that calls will be monitored/recorded for training purposes.

### 1. Personal details (Please do not complete this form until you have thoroughly read the accompanying guidance notes.)

Surname	<input type="text"/>		
First name(s)	<input type="text"/>		
Title (for example Mr/Mrs/Miss etc)	<input type="text"/>	Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>
Nationality	<input type="text"/>	Sex	M <input type="checkbox"/> F <input type="checkbox"/>
Are you currently registered with the SRA as a registered European lawyer (REL)?* Yes <input type="checkbox"/> No <input type="checkbox"/>			
<small>*If you have answered "NO" to this question, you should note that your application for admission cannot be considered until you are registered with the SRA as a REL.</small>			

### 2. Current practising details (Please use a separate sheet to give details of additional addresses if more than one firm.)

Professional title in home member state	<input type="text"/>		
Firm's (or organisation's) name	<input type="text"/>		
Main practising address of firm (or organisation) in this country (the host member state)		Principal address of firm (or organisation) in this country (the host member state)	
Address	<input type="text"/>	Address	<input type="text"/>
	<input type="text"/>		<input type="text"/>
Town	<input type="text"/>	Town	<input type="text"/>
County	<input type="text"/>	County	<input type="text"/>
Postcode	<input type="text"/>	Postcode	<input type="text"/>
Email address	<input type="text"/>	Email address	<input type="text"/>
Telephone	<input type="text"/>	Telephone	<input type="text"/>

**Current status:** Please tick the appropriate box

Senior Partner

Assistant

Partner

Sole Principal

Consultant

Other  
(Please give details)

### 3. Home Address

Principal address in the home member state

Address   
  
  
  
Email address   
Telephone

Address to which correspondence should be sent (if different)

Address   
  
  
  
Email address   
Telephone

You must also provide all other addresses (to and from dates must be included) of where you have lived in the last 5 years. There must be no gaps in dates, overlapping dates are acceptable. Please use a continuation sheet if necessary which must be stapled to your application form.

Address   
  
  
  
Dates from  to

Address   
  
  
  
Dates from  to

#### 4. Details of home jurisdiction

Name and address of the Law Society Bar, Chamber and/or Court within whose jurisdiction you are admitted. (If there is more than one, please give the name, address and admission date for each. Use a continuation sheet if necessary.)

1


2


Date of admission

Date of admission

Is the certificate of attestation from your home jurisdiction attached? Yes  No

#### 5. Previous application

Have you previously made an application for admission under the Establishment Directive;

a) In our jurisdiction? Yes  No

If "yes" please provide details

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b) In another jurisdiction? Yes  No

If "yes" please provide details

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## 6. The Suitability Test

This section must be completed in full if you wish to be admitted as a solicitor in England & Wales:

The SRA has a responsibility under the Solicitors Act 1974 to ensure that there are no issues, which could call into question your character and suitability as a solicitor.

ALL APPLICANTS MUST ANSWER THE FOLLOWING QUESTIONS (please tick where appropriate). Please note convictions and cautions which are "spent" under the Rehabilitation of Offenders Act 1974 must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 unless they are protected convictions or cautions.

Please refer to the guidance notes for further information.

### Criminal offences

Refer to Section 1 of the Suitability Test.

**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.**

I have read and understood this statement

**1 Have you ever been convicted by a court of a criminal offence:**

- (i) for which you received a custodial or suspended sentence;
- (ii) involving dishonesty, fraud, perjury and/or bribery;
- (iii) specifically in relation to which you have been included on the Violent and Sex Offender Register;
- (iv) associated with obstructing the course of justice;
- (v) which demonstrated behaviour showing signs of discrimination towards others;
- (vi) associated with terrorism;
- (vii) which was racially aggravated;
- (viii) which was motivated by any of the 'protected' characteristics defined within the Equality Act 2010; and/or
- (ix) more than one criminal offence?

Yes  No

If you answered 'yes', **we will refuse your application** unless there are exceptional circumstances.

**2 Have you ever:**

- (i) been convicted by a court of a criminal offence not falling within 1 above;
- (ii) been included on the Violent and Sex Offender Register but in relation to your inclusion on the Register, you have not been convicted by a court of a criminal offence; and/or
- (iii) accepted a caution for an offence involving dishonesty?

Yes  No

If you answered 'yes', **we are more likely than not to refuse your application unless there are exceptional circumstances.**

**3 Have you ever:**

- (i) received a local warning from the police;
- (ii) accepted a caution from the police for an offence not involving dishonesty;
- (iii) received a Penalty Notice for Disorder (PND) from the police;
- (iv) received a final warning or reprimand from the police (youths only); and/or
- (v) received a referral order from the courts (youths only)?

Yes  No

If you answered 'yes', **we may refuse your application.**

**Are you currently facing any criminal charges?**

Yes  No

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

**Evidence and rehabilitation**

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered "Yes" to any of the questions 1 to 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 references from 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 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 to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

**Assessment offences**

Refer to Section 4 of the Suitability Test.

**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.**

I have read and understood this statement

**4 Have you 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 yourself or others?**

Yes  No

If you answered 'yes', **we will refuse your application** unless there are exceptional circumstances.

### Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

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

### Financial behaviour

Refer to Section 5 of the Suitability Test.

**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.**

I have read and understood this statement

- 5 Have you ever been declared bankrupt, entered into any individual voluntary arrangements (IVA's) or have had a County Court Judgment (CCJ) issued against you?** Yes  No

If you answered 'yes' to question 5, it will raise a presumption that you cannot manage your finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.

### Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

If you have 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 references from 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 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 you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

## Regulatory history

Refer to Section 6 of the Suitability Test.

**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.**

I have read and understood this statement

### 6 Have you 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;
- (ii) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information;
- (iii) breached the requirements of a regulatory body;
- (iv) been refused registration by a regulatory body; and/or
- (v) failed to comply with the requests of a regulatory body?

Yes  No

If you answered 'yes', **we will refuse your application** unless there are exceptional circumstances.

### 7 Have you ever been rebuked or reprimanded by, or received a warning about your conduct from, a regulatory body?

Yes  No

If you answered 'yes', **we may refuse your application** unless there are exceptional circumstances.

**Are you currently facing any disciplinary proceeding(s) or investigation(s)?** Yes  No

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

## Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'yes' to questions 6 and/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 outcomes(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 references from 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
- E independent evidence of actions you have taken to satisfy any findings and/or sanctions.

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

### **Any other behaviour**

Refer to Section 3 of the Suitability Test.

**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.**

I have read and understood this statement

**8 Are there any other factors which may call into question your character and suitability?**

Yes

No

Unless there are exceptional circumstances **we will refuse your application** if you 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 your position to obtain pecuniary advantage;
- (iii) misused your position of trust in relation to vulnerable people; and/or
- (iv) been responsible for other forms of behaviour which demonstrate that you cannot be relied upon to discharge your regulatory duties.

### **Evidence and rehabilitation**

Refer to Sections 7 and 8 of the Suitability Test.

If you have 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 references from 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.

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



## 7. Application under Article 10

Are you applying under Article 10.1 or 10.3?

10.1

10.3

## 8. Experience and practise as a lawyer established in the UK

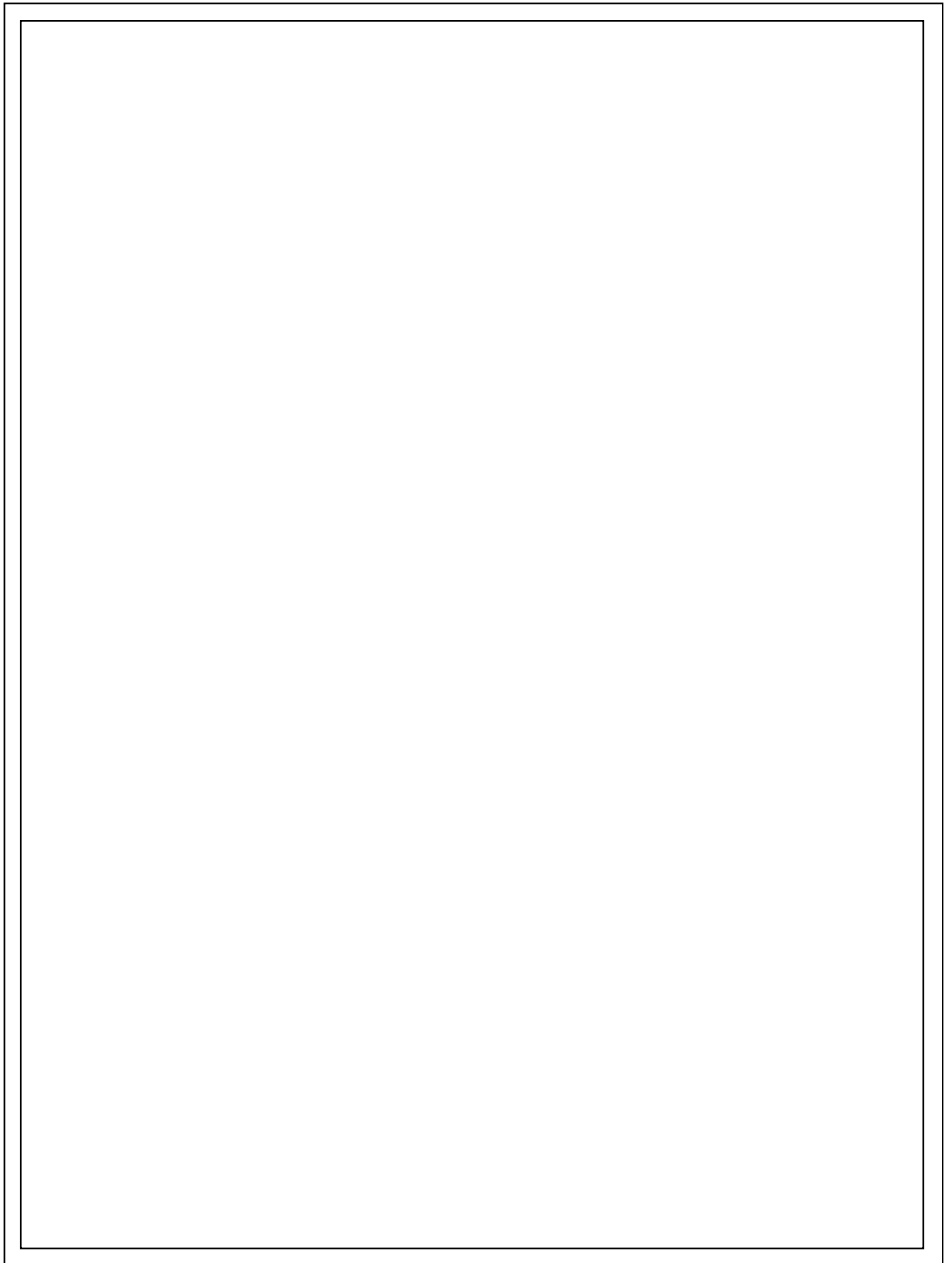
**Please use a separate sheet to provide additional information if necessary.)**

Please provide full details of your experience and practise as a lawyer established under the Establishment Directive. You should confirm:

- Exact dates of employment with the firm (or organisation) in this country.
- Full details and nature of responsibilities and duties undertaken.
- Areas of law/professional activity in which experience gained.
- Whether undertaken on a full or part time basis (if part time total hours per week).
- Why you consider your activities as a lawyer to have been “effective and regular” over the last three years.

In addition an original letter from an employer, partner, barrister, solicitor, registered foreign lawyer (RFL) or REL should be submitted with this application. The letter should certify your experience and practise as a lawyer established in the UK.

**Section 8 continued**



## 9. Professional training and development

Please list all the continuous professional development (CPD) courses, conferences or seminars that you have attended as a REL together with dates of the course and contact hours.

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Please list any other courses, conferences or seminars on the law of the UK which you have attended.

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Please provide any further information which you feel needs to be taken into account when considering your application for admission under the Establishment Directive.

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## 10. Documentation required

Applicants should submit the following documentation:

- completed application form,
- the prescribed fee,
- certificate of attestation,
- original letter from your last employer confirming experience and practise as an established European lawyer.

## 11. Welsh language practising certificate

Would you prefer your practising certificate printed in the Welsh language?

Yes

No

## 12. Declaration - All Applicants should complete this section. Please read the notes before completing this section

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

The SRA will revoke admission to the roll if it was granted as a result of error or fraud.

I confirm that:

- I am the individual named on this application.
  - I have read the guidance notes.
1. I understand that the SRA will make such enquiries and seek information as it considers appropriate in the course of verifying the information given in this form. The SRA will validate name, address and other personal information supplied by you during the application process against appropriate third party databases. By accepting these terms and conditions you consent to such checks being made. In performing these checks, personal information provided by you may be disclosed to a registered Credit Reference Agency which may keep a record of that information. This is done only to confirm your identity, a credit check is not performed and your credit rating will be unaffected. All information provided by you will be treated securely and strictly in accordance with the Data Protection Act 1998.
  2. I agree to notify the SRA of any other information relevant to the application and inform the SRA immediately of any changes in the information provided which occurs between now and my admission to the roll of solicitors.
  3. The information in this application is accurate and complete to the best of my knowledge and belief.
  4. I agree to abide by the rules of professional conduct of the SRA (host Law Society of England and Wales) during the period of my registration and following my admission. I also agree that my home Bar(s)/Law Society(ies) and the the SRA (host Law Society of England and Wales) can freely exchange all the relevant information about my professional activities.

Full Name

Signed  Date

**Please note if the form is not signed and the fee is not received your application will not be processed.**

## 13. Fee calculation

Application fee: (see notes) £

Payment enclosed £

You can pay the full amount by cheque, postal order or bank transfer. We do not accept payment via credit or debit cards.

If paying by cheque, please make it payable to the **Law Society**. Note: it may take up to 8 weeks for a foreign cheque to clear our account and your application will not be processed until cleared funds have been received.

Please send the completed application form and payment to: Authorisation, Solicitors Regulation Authority, The Cube, 199 Wharfside Street, Birmingham, B1 1RN or DX 720293 Birmingham 47.

Alternatively by fax on +44 (0) 121 626 1999 if payment is made by bank transfer.

Please note that no receipt will be issued.