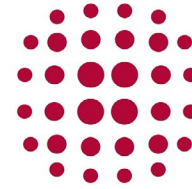


FA1 - Firm authorisation application form



Solicitors
Regulation
Authority

Use this form to apply for approval as a:

- licensed body,
- recognised body, or
- recognised sole practice.

In this form, 'Applicant' means the entity seeking authorisation.

Section 1 - Applicant details

1.1 Applicant name

1.2 What do you want to apply for authorisation as?

a licensed body a recognised body a recognised sole practice

1.3 Is the Applicant:

a new licensed body, recognised body or recognised sole practice, or

an existing authorised body changing its legal entity?

1.4 Does the Applicant have temporary emergency authorisation? **Yes** **No**

1.5 What date does the Applicant want to start providing legal services?

1.6 Is the application to enable the Applicant to provide work issued by the Legal Aid Agency? **Yes** **No**

1.7 **Contact for application**

Forename(s) Surname

Title Phone

Email

Relationship to Applicant

1.8 The Applicant is a:

company registered at Companies House

unincorporated partnership

UK limited liability partnership

sole practitioner

other

Specify if 'other'

If the Applicant is a corporate body, confirm:

Country of incorporation

Date of incorporation

Registration/incorporation number

- 1.9 Is the Applicant a public limited company (PLC) or connected to a PLC? **Yes** **No**
- 1.10 Is the Applicant an existing non-lawyer legal disciplinary practice (LDP)? **Yes** **No**
- 1.11 Has the Applicant ever been authorised by another regulator? **Yes** **No**

If **Yes**, provide details below:

Name of regulator(s)

Registration number(s)

What did/does this authorisation allow?

- 1.12 Has the Applicant previously been refused authorisation or had authorisation revoked by another regulator? **Yes** **No**

If **Yes**, provide details below:

Name of regulator(s)

Decision date

Reasons for refusal or revocation

1.13 Head office

Address	<input type="text"/>	DX no	<input type="text"/>
	<input type="text"/>	DX town	<input type="text"/>
	<input type="text"/>	Phone	<input type="text"/>
Postcode	<input type="text"/>		
Email address	<input type="text"/>		

What practising style(s) or trading name(s) will be used by this office?

If the Applicant is a corporate body, is the registered office the same as the head office? **Yes** **No**

If **No**, provide the registered office address

Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Postcode	<input type="text"/>

1.14 Provide details for all other offices. This means any place where the Applicant provides legal services or offers other services if it is a multi-disciplinary practice.

Office 1

Address	<input type="text"/>	DX no	<input type="text"/>
	<input type="text"/>	DX town	<input type="text"/>
	<input type="text"/>	Phone	<input type="text"/>
Postcode	<input type="text"/>		

Is this a practising address? **Yes** **No**

Office 2

Address	<input type="text"/>	DX no	<input type="text"/>
	<input type="text"/>	DX town	<input type="text"/>
	<input type="text"/>	Phone	<input type="text"/>
Postcode	<input type="text"/>		

Is this a practising address? **Yes** **No**

Office 3

Address

DX no

DX town

Phone

Postcode

Is this a practising address?

Yes

No

Office 4

Address

DX no

DX town

Phone

Postcode

Is this a practising address?

Yes

No

Provide details for any additional offices on a separate sheet.

Turnover

1.15 Estimated turnover figure for the first 12 months of practice (£)

1.16 For existing firms changing status, turnover for the last complete accounting period (£)

What is this figure based on?

Closed accounts

An estimate as the accounts for the period have not closed

An estimate for the first 12 months

1.17 Will the Applicant wholly or partially succeed to an existing firm?

Yes

No

Section 2 - Post and role holders

Provide details of all individuals and corporate entities who are to be authorised post and role holders within the Applicant. This includes any individual/entity who holds a material interest in a parent of the Applicant and its COLP and COFA.

To check whether an individual or entity meets the deeming criteria, refer to the following rules:

- For managers and owners - rule 13.2 of the SRA Authorisation of Firms Rules
- For compliance officers - rule 13.5 of the SRA Authorisation of Firms Rules.

You must upload a separate individual approval application form (FA2) for all individuals who do not meet the deeming criteria.

2.1 Individuals

Name	SRA no	Compliance officer?	Deemed? (rule 13.5)	Manager/owner?	Deemed? (rule 13.2)	Other roles (Authorised signatory, responsible for supervision)	Connection to CMC or claims management activities?

Provide details for additional individuals on a separate sheet uploaded with this application.

Person responsible for supervision

Provide the name of the individual responsible for supervision in compliance with rule 9.4 of the SRA Authorisation of Firms Rules. The Applicant must have at least one individual who is responsible

2.2 Name

SRA number

2.3 This individual meets the requirements set out in rule 9.4 of the SRA Authorisation of firms rules

Yes

2.1 Corporate managers and owners

Name	SRA no	Manager/owner?	Deemed? (rule 13.2)	Connection to CMC or claims management activities?

You must complete a corporate manager/owner form (FA3) for all entities that do not meet the criteria to be deemed to be approved.

Section 3 - Organisation information

Business structure

3.1 Provide a corporate structure chart showing all owners and managers of each entity

Structure chart will be uploaded with application

3.2 Upload each of the following documents, tick if applicable to the Applicant:

Memorandum and articles of association

Shareholders agreements

Partnership agreements

Members agreements

LLP agreements

Other documents about the voting rights and/or controls on the Applicant and/or any parent or subsidiary such as ordinary or special resolutions

Separate businesses

3.3 Will the Applicant own, be owned by, actively participate in, or be connected with a separate business:

That will engage in legal activities? **Yes**

That will engage in claims management activities? **Yes**

To which clients, or aspects of their case, will be referred, signposted or transferred? **Yes**

Which are jointly advertised or promoted with authorised businesses (including sharing a website, offering joint services or bidding for work together? **Yes**

If you answered **Yes** above, provide the following for each separate business

Name	Corporate registration	Relationship with Applicant	Nature of work	If regulated, name of regulator	Will it remain separate or amalgamate with the Applicant?

Upload a separate document with details of any additional businesses not listed here

3.4 Will the Applicant share premises, staff or data with any other person or entity? **Yes** **No**

If **Yes**, provide details and explain how client confidentiality will be protected

Sources of funding

3.5 Does the Applicant use or intend to use sources of finance? **Yes** **No**

If **Yes**, provide the following for each arrangement:

Type of finance	Finance provider	Capital invested/amount borrowed	% interest

3.6 Has the Applicant or any individual manager or owner previously been involved in any other business which is/has been in administration or liquidation? **Yes** **No**

If **Yes**, provide an explanation and upload any relevant documents or information

Section 4 - Areas of work

4.1 Will the Applicant provide legal services? **Yes** **No**

The Applicant will only be eligible for authorisation if it intends to provide legal services or can satisfy us that there is a public interest in authorising the entity. If you do not intend to provide legal services to discuss your application before you submit it.

4.2 Provide a breakdown of the areas of work the Applicant intends to undertake by percentage, to total 100 percent

Area of work	Percent
Arbitration and alternative dispute resolution	
Bankruptcy/insolvency	
Children	
Commercial/corporate work for listed companies	
Commercial/corporate work for non-listed companies and others	
Consumer	
Criminal	
Debt collection	
Discrimination/civil liberties/human rights	
Employment	
Family/matrimonial	
Financial advice and services regulated by the SRA	
Financial advice and services regulated by the FCA	
Immigration	
Intellectual property	
Landlord and tenant (commercial and domestic)	
Litigation	
Mental health	
Personal injury	
Planning	
Probate and estate administration	
Property - commercial	
Property - residential	
Social welfare	
Wills, trusts and tax planning	

Total

4.3 What percentage of work will be funded by legal aid?

Multi-disciplinary practices

4.4 Does the Applicant want to operate as a multi-disciplinary practice with SRA regulation only applying to certain types of work? **Yes** **No**

If **Yes**, state which services are expected to be provided outside of SRA regulation and whether the firm has another regulator for those services

4.5 What fees are anticipated from SRA regulated work?

% of total fees

Amount

Financial services activities

4.6 Will the Applicant carry out financial services activities?

Yes

No

If **Yes**, you must complete an FA8 form and upload it with this application

Money laundering

4.7 Will the Applicant offer services that are subject to money laundering regulations?

Yes

No

If **Yes**, you must complete an FA10 form and upload it with this application

Claims management activities

4.8 Will the Applicant carry out claims management activities?

Yes

No

Section 5 - Professional indemnity insurance (PII)

5.1 Is the Applicant exempt under the SRA Indemnity Insurance Rules?

Exempt

Partially exempt

Not exempt

If exempt or partially exempt, confirm the date of exemption

5.2 Will an existing PII policy, issued by a participating insurer and held by an existing firm be transferred to the Applicant, or will a new policy start?

New policy

Existing policy

Existing policy

Complete this section if an existing policy will be transferred to the Applicant

5.3 Participating insurer

Policy number

Amount of cover

Upload a copy of the 'held cover' letter, policy or insurance certificate

If the policy does not yet cover the Applicant, upload evidence that the insurer will transfer the policy

New policy

5.4 Participating insurer

Policy number

Amount of cover

Start date

End date

Upload a copy of the 'held cover' letter, policy, insurance certificate or valid quotation

Section 6 - Client money

6.1 Will the Applicant, or any individual within it, hold or receive client money? **Yes** **No**

6.2 If **Yes**, will all client accounts be held at a bank or building society in England and Wales? **Yes** **No**

If **No**, provide details

6.3 If the Applicant will operate as a multi-disciplinary practice, will client money received from SRA regulated activities be held in a separate client account? **Yes** **No**

6.4 Will the Applicant use a third-party managed account (TPMA)? **Yes** **No**

Section 7 - Licensed bodies (ABSs)

This section should be completed by firms seeking to be authorised as an ABS

7.1 Does the Applicant consider itself for the purposes of section 72 of the Legal Services Act 2007 (the LSA) to be a body:

With share capital (s72(6)(a)LSA)? **Yes**

With capital but no share capital (s72(6)(b)LSA)? **Yes**

Without share capital (s72(6)(c)LSA)? **Yes**

7.2 What steps has the Applicant taken to satisfy itself of the material interests which exist for the purposes of Schedule 13 of the LSA?

7.3 What steps has the Applicant taken to satisfy itself that it has identified all associate relationships which exist between non-authorized persons for the purposes of Schedule 13(5) of the LSA?

7.4 Who is, or will be entitled to exercise or control the exercise of voting power in the Applicant and relevant parent undertakings (para 3 and 5(4) of Schedule 13 of the LSA)?

7.5 Which non-authorized persons have significant influence over the management of the Applicant and all relevant parent undertakings? Describe the nature of that influence.

7.6 Does the Applicant have a parent undertaking? **Yes** **No**

If **Yes**, confirm whether:

7.6.1 Any non-authorized person has any right of veto, or is otherwise able to have dominant influence (passively or actively) in respect of the exercise of voting power, or in respect of management in the Applicant and all relevant undertakings? **Yes** **No**

7.6.2 The Applicant or any relevant parent undertaking is managed on a unified basis with another body or bodies? **Yes** **No**

7.6.3 Any non-authorized person has the right to impose directions on the operating and financial policies of the Applicant, or relevant parent undertaking, including under the Articles of Association or a control contract? **Yes** **No**

7.6.4 Any non-authorized person has an unqualified right to appoint or remove a majority of the directors of the Applicant or a parent undertaking? **Yes** **No**

7.6.5 Will the Applicant be a subsidiary undertaking for the purposes of Schedule 13 of the LSA (which relies upon the definition in section 420 of the Financial Services and Markets Act 2000)? **Yes** **No**

If **Yes**, provide details

7.7 Provide details of the ultimate beneficial owner(s) of the Applicant.

7.8 What steps has the Applicant taken to ensure compliance with section 190 of the LSA?

7.9 Are any of the Applicant's external investors incorporated or domiciled in the jurisdictions that are identified by the Financial Action Task Force ("FATF") as high risk and suspect, or that are on the Organisation for Economic Cooperation Development ("OECD") sanction list? **Yes** **No**

If **Yes**, provide details

Section 8 - Declaration

An individual manager, named in Section 2, must complete this section. They must have authority from all other managers of the Applicant to make this declaration on behalf of the firm. If this application is for a recognised sole practice, the intended sole practitioner must make this declaration.

If the Applicant does not have any individual managers, a manager of a corporate manager must make the declaration.

Knowingly or recklessly giving false or misleading information, or failing to inform us of significant information may lead us to:

- reject your application(s)
- revoke the Applicant's authorisation
- withdraw approval of a role holder, and/or
- take disciplinary action.

You should not assume that information is known to us because it is in the public domain, or has previously been disclosed to us or another regulatory body. If you are in any doubt about the relevance of information, you should include it in this application.

We may make enquiries and seek further information considered necessary in determining this application.

The Applicant must not provide any reserved legal activities or immigration work until it has been authorised by us. It is a criminal offence to carry out a reserved legal activity without being authorised to do so.

In making this application on behalf of the Applicant:

- 8.1 I confirm that I have read and understood the guidance notes and that the information in this application about the Applicant and all candidates is correct and complete to the best of my knowledge and belief.
- 8.2 I confirm that I have authority to make this application and the declaration on behalf of the Applicant and all candidates named in the application.
- 8.3 I confirm that the proposed compliance officers consent to their nomination.
- 8.4 I confirm that I will notify you as soon as any of the information provided in this application changes.

Individual manager

Forename(s)	<input type="text"/>	Surname	<input type="text"/>		
Title	<input type="text"/>	Date of birth	<input type="text"/>	SRA no	<input type="text"/>
Role	<input type="text"/>	Email	<input type="text"/>	Date	<input type="text"/>

Section 9 - Returning the form

Before you submit your application, check:

- 9.1 Any additional forms relating to role holders (FA2 and FA3) have been prepared to upload with this form
- 9.2 Any additional forms relating to financial services (FA8) or money laundering (FA10) have been prepared to upload with this form

Once completed you must upload and submit this form via mySRA.

Section 10 - What we will do with your data

Privacy notice