

FA6 - Deemed Approved Compliance Officer Advance Notification Form



This form is to nominate an individual who meets the deeming provisions in [Rule 13.3](#) of the Authorisation Rules for 2011 for the following role(s).

- Notification of a new deemed approved Compliance Officer for Legal Practice (COLP)
- Notification of a new deemed approved Compliance Officer for Finance and Administration (COFA)

Section 1 - Compliance Officer Details

Surname:	Forename(s):	
Title:	Date of Birth:	SRA number:
Current home address:		
Please tick to confirm role(s) the above is nominated for:		
Compliance Officer for Legal Practice (COLP):		
Compliance Officer for Finance and Administration (COFA):		
Date candidate intends to take up their role(s):		

Section 2 - Firm Details

Name of authorised body:	Firm SRA number:
Details of firm contact: (this is the person with whom we will communicate in respect of this nomination)	
Contact name:	Role:
Contact address:	DX number:
	DX town:
Post Code:	Tel number:
Email address:	

Section 3 - Deeming Criteria

In order to be deemed approved as a Compliance Officer in an authorised body, the candidate must meet the deeming criteria at rule 13.3 of the SRA Authorisation Rules 2011 as follows:

The SRA will deem a person to be approved as suitable to be a Compliance Officer of an authorised body under this part if:

- (a) the person is an individual who is a Sole Practitioner or a Lawyer who is a manager of the authorised body;
- (b) the authorised body has an annual turnover of no more than £600,000;
- (c) the SRA is notified of the appointment of the person as a Compliance Officer on the prescribed form, correctly completed, in advance of the appointment commencing;
- (d) that person is not subject to a regulatory investigation or finding, including a discipline investigation of which they have received notice, a disciplinary decision or a SRA finding, an application to or a finding of the Tribunal, or any equivalent investigation or finding of another regulatory body;
- (e) notwithstanding the generality of sub paragraph (d), the SRA has not previously refused or withdrawn its approval of that person to be a Compliance Officer under rule 17; and
- (f) the person is not a Compliance Officer of any other authorised body.

By ticking against the following statements, the person making this notification on behalf of the authorised body is confirming that each statement is correct to the best of their knowledge and belief:

- 3.1 The candidate is a Sole Practitioner or a Lawyer who is a manager of the authorised body. If the candidate is not a solicitor that is deemed approved as a manager under rule 13.2 of the SRA Authorisation Rules 2011, he/she has received approval from the SRA as a lawyer manager of the authorised body.
- 3.2 The authorised body's annual turnover is not more than £600,000.
- 3.3 The candidate is not subject to a regulatory investigation or finding, including a discipline investigation of which they have received notice, a disciplinary decision or a SRA finding, an application to or a finding of the Tribunal, or any equivalent investigation or finding of another regulatory body.
- 3.4 The SRA has not previously refused or withdrawn its approval of the candidate to be a Compliance Officer under rule 17 of the SRA Authorisation Rules 2011.
- 3.5 The candidate is not a Compliance Officer of any other authorised body.

If you are unable to confirm any of the above statements, the candidate does not meet the deeming criteria to be a Compliance Officer and must submit an Individual Approval Application.

Section 4 - Firm Declaration

This section is to be completed by an individual manager of the authorised body.

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

- reject the notification, and/or
- take disciplinary action.

In making this application on behalf of the authorised body:

- 4.1 I confirm that I have read and understood the guidance notes. The information in this application about the nominated compliance officer is correct and complete to the best of the knowledge and belief of the managers and owners of the authorised body.
- 4.2 I confirm that I have authority to make this notification and associated declarations on behalf of the authorised body, its managers and owners.
- 4.3 The authorised body and its compliance officers 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 your regulatory arrangements.
- 4.4 I confirm that the authorised body, its managers and owners, are satisfied that the COLP/COFA candidate will be able to fully discharge his/her responsibilities as a COLP and/or COFA in the firm.
- 4.5 The nominated individual consents to his/her nomination as COLP (if applicable).
- 4.6 The nominated individual consents to his/her nomination as COFA (if applicable).

Surname:

Forename(s):

Title:

Date of birth:

SRA number:

Email:

Signature:

Date:

Section 5 - What we will do with your data

Privacy Notice

The Law Society is the data controller of the personal information we collect. We are the independent, regulatory arm of the Law Society, and operate separately from it.

The SRA has a responsibility under the Solicitors Act 1974 to ensure that there are no issues which could call into question the character and suitability of those whom we regulate which is the reason for collecting this information.

Further details regarding your rights under data protection legislation and how your information is used can be found here: <https://www.sra.org.uk/dpa/>