



Solicitors
Regulation
Authority

Firm Based Authorisation

Notification of a Deemed Approved COLP or COFA
Form FA6 - guidance notes

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Contents

1. Introduction.....	3
2. Getting Started.....	3
Eligibility	3
How to use the form.....	3
3. Advice & Help	4
4. The form.....	4
Section 1 - Compliance Officer details.....	4
Section 2 - Firm details	4
Section 3 - Deeming criteria.....	4
Section 4 - Declaration.....	5
5. Where to send the form	5

1. Introduction

This form should be completed if you are an existing SRA authorised firm and you wish to nominate an existing lawyer manager of the firm as your new Compliance Officer for Legal Practice (COLP) and/or Compliance Officer for Finance and Administration (COFA). Both the firm and the candidate must meet the eligibility criteria.

This is an advance notification form which means, while SRA approval is not required for the nomination as long as all eligibility criteria are met, you should provide this notification to the SRA, and receive acceptance of that notification, in advance of the role(s) being taken up by the candidate.

2. Getting Started

Eligibility

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:

13.3 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) the 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- (e) notwithstanding the generality of sub paragraph (d), the SRA has not previously refused or withdrawn its approval of that person to be a Compliance Officer under rule 17; and*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.*

How to use the form

The form is an editable Portable Document Format file (PDF) and should be completed electronically.

Please answer all questions and complete all the relevant boxes.

All declarations must be signed before submitting the form, this can be done electronically.

Please note: we will not be able to process your notification unless it is complete.

3. Advice & Help

Where to get help with your application:

- You may find it helpful to refer to the [SRA Glossary](#).
- Pre-application questions: if you have queries in advance of submitting your application, you can email - authorisation@sra.org.uk or call us on 0370 606 2555.
- Professional Ethics guidance: if you are unsure about whether your organisation requires authorisation, or which persons require approval. The Professional Ethics team can help with these queries, along with guidance on the SRA Handbook. Professional Ethics can be contacted at professional.ethics@sra.org.uk or on 0370 606 2577.
- Professional advisers: you should consider early on whether, given the nature of the proposed business and your own experience, it is appropriate to seek professional advice with your application.

4. The form

Section 1 - Compliance Officer details

This section is intended to capture essential information about: the candidate being nominated; whether they are nominated for the role of COLP, COFA or both; and the date it is intended they will commence the role(s).

Section 2 - Firm details

This section is intended to capture the name and number of the firm in which the candidate will carry out their role(s) along with the firm's preferred contact name and details in respect of the application.

Section 3 - Deeming criteria

This section details the COLP COFA deeming provisions at Rule 13.3 of the SRA Authorisation Rules 2011. It asks the person making the notification on behalf of the firm to confirm the candidate and the firm meet the eligibility requirements.

Section 4 - Declaration

Authorised individual manager: The firm's authorised individual manager must be an individual lawyer manager, who is authorised by the firm and its managers, to make declarations on its behalf. In a sole practitioner firm, the authorised individual manager must be the solicitor or REL sole practitioner.

We would usually expect the authorised individual manager to be the firm's designated 'Authorised Signatory' as registered against the organisation. However, where the firm does not have an Authorised Signatory, any lawyer manager in the firm who meets the requirements can complete the form, including the candidate themselves.

5. Where to send the form

Please return the form by email to: authorisation@sra.org.uk