FA10b - Make changes to your anti-money laundering authorisation

Read the guidance on our website before you fill in this form.

Use this form to tell us about changes required to your authorisation under The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (the MLR).

This form can be used by SRA authorised firms and individuals practising under regulation 10.2 of the SRA Authorisation of Individuals Regulations (AoI) who already have MLR authorisation.

If you have not already had money laundering authorisation from us, you need to complete form FA10.

You should save a copy of the form to your device before you start to fill it in.
This form is an editable PDF and must be completed on screen.

Once complete, email the form and a copy of all DBS check results (or overseas equivalents) to DBS@SRA.org.uk.

Section 1 - Your details

Please provide the name and number of your authorised firm or, if you are practising on your own account under regulation 10.2 AoI, your own name and SRA number.

	Firm name		SRA number	
or	Solicitor name		SRA number	

Section 2 - Your services

You should only complete this section if you need to tell us about any changes to the services you provide under the MLR since your last MLR application was approved by us.

If you tell us you have stopped providing a particular service but you decide to provide services falling within scope of the MLR again in the future, you must notify us of your intention to do so. You must also ensure, before you do so, that you are fully compliant with the MLR. Failure to do so may result in breaches of our Standards and Regulations and of the MLR resulting in you committing a criminal offence.

2.1 Have you stopped carrying out all activities which are subject to the MLR? **Yes** ☐ **No** ☐

If **Yes**, go to section 7.

If **No**,for each type of work, tell us if you have started, or stopped doing it since your last approval. Leave the boxes blank if there is no change.

Independent legal professional firms or sole practitioners

A firm or sole practitioner who, by way of business, provides legal or notarial services to others when participating in financial or real property transactions concerning any of the below.

A person participates in a transaction by assisting in the planning or execution of the transaction or otherwise acting for or on behalf of a client in the transaction.

2.2 The buying and selling of real property or business entities. **Started** ☐ **Stopped** ☐

2.3 The managing of client money, securities or other assets. **Started** ☐ **Stopped** ☐

2.4 The opening or management of bank, savings or securities accounts. **Started** ☐ **Stopped** ☐

2.5 The organisation of contributions necessary for the creation, operation or management of companies. **Started** ☐ **Stopped** ☐

2.6 The creation, operation or management of trusts, companies, foundations or similar structures. **Started** ☐ **Stopped** ☐

Trust or company service providers (TCSPs)

You must inform us before providing the Trust and Company Services below and follow our directions on any waiting period that may apply

2.7 Forming any entity that, whether or not a legal person, is not an individual and includes a body corporate and a partnership or other unincorporated association. **Started** ☐ **Stopped** ☐

2.8 Selling off-the-shelf firms (this means firms which do not carry on business or carry on business which is not the main activity of the TCSP). **Started** ☐ **Stopped** ☐

2.9 Acting or arranging for another person to act: **Started** ☐ **Stopped** ☐

i) as a director or secretary of a company
ii) as a partner in a partnership, or
iii) in a similar capacity in relation to other legal persons.

2.10 Providing a registered office, business correspondence or administrative address or other related services for a company, partnership or any other legal person or arrangement. **Started** ☐ **Stopped** ☐

2.11 Acting or arranging for another person to act as: **Started** ☐ **Stopped** ☐

i) a trustee of an express trust or similar legal arrangement, or
ii) a nominee shareholder for a person other than a company whose securities are listed on a regulated market.

Tax advisers

2.12 Offering material aid, or assistance or advice, in connection with the tax affairs of other persons, whether provided directly or through a third party. **Started** ☐ **Stopped** ☐

Other

2.13 Auditors, insolvency practitioners, external accountants and or estate agents. **Started** ☐ **Stopped** ☐

The SRA cannot supervise auditors, insolvency practitioners, external accountants or estate agents under the MLR. If you tick 'Yes' to 2.13, you will need to be supervised by HMRC or another valid supervisor under the regulations.

If you have stopped all work areas, go to 'Section 7 - Declaration'.

Section 3 - Money Laundering Reporting Officer (MLRO)

Complete this section if you are an SRA authorised firm and want to change the firm's nominated officer under regulation 21(3) of the MLR.

Forename(s)		Surname			
Title		Date of birth		SRA number	
Email		Start date			

3.1 Has this individual already been approved as a beneficial owner, officer and / or manager of the firm under the MLR? **Yes** ☐ **No** ☐

If **No**, they will require approval. Please complete questions 3.2 and 3.3 below.

3.2 Does the individual have a relevant conviction as listed in Schedule 3 to the MLR (reproduced at Annex 1 at the end of this form)? **Yes** ☐ **No** ☐

3.3 Have you obtained a basic disclosure and barring service (DBS) check? **Yes** ☐

You must complete a basic DBS check (or overseas equivalent) for this individual and have the results when you make this application.

Section 4 - Money Laundering Compliance Officer (MLCO)

Complete this section if you are an SRA authorised firm and want to change the firm's nominated officer responsible for compliance with the MLR under regulation 21(1).

Forename(s)		Surname			
Title		Date of birth		SRA number	
Email		Start date			

4.1 Has this individual already been approved as a beneficial owner, officer or manager of the firm under the MLR? **Yes** ☐ **No** ☐

If **No**, they will require approval. Please complete questions 4.2 and 4.3 below.

4.2 Does the individual have a relevant conviction as listed in Schedule 3 to the MLR (reproduced at Annex 1 at the end of this form)? **Yes** ☐ **No** ☐

4.3 Have you obtained a basic disclosure and barring service (DBS) check? **Yes** ☐

You must complete a basic DBS check (or overseas equivalent) for this individual and have the results when you make this application.

Section 5 - New beneficial owners, officers and / or managers (SRA authorised firms only)

Tell us about new individuals that are considered a beneficial owner, officer and / or manager (BOOM) under the MLR. If these individuals also need SRA approval to be role holders in your firm, you must upload this form with a separate application for approval in mySRA (form FA2). If you need to remove individuals who no longer hold these roles, you can do so in mySRA.

Relevant convictions are listed in Schedule 3 to the MLR and are reproduced at Annex 1. If you need more lines, use the table provided at Annex 2.

DBS checks / Overseas criminal checks
You must complete a basic disclosure and barring service (DBS) check (or overseas equivalent) for each individual listed and have the results when you make this application. Read our guidance on obtaining a DBS check.

Attach copy of the results or certificate for each individual listed when you submit this form. We will keep these for 30 days so that we can make our decision on your application and then remove them from all of our records.

Forename(s)	Surname	SRA number	Email address	Start date	UK resident in last 5 yrs?	Relevant conviction?	DBS check obtained?

Section 6 - Fit and proper declarations

This section only needs to be cmpleted if new individuals require approval under the MLR.

6.1 Read the following two statements carefully and tick the box next to the one relevant to your firm.

None of the individuals listed in this form have any unspent criminal convictions that are listed in Schedule 3 to the MLR. ☐

One or more of the individuals listed in this form section have unspent criminal convictions that are listed in Schedule 3 to the MLR. ☐

Schedule 3 to the MLR is reproduced at Annex 1.

6.2 Confirm that you have provided DBS checks (or overseas equivalents) for all individuals listed in this application. ☐

Section 7 - Declaration

This section must be completed by a manager (as we define it) of the firm, or the individual practising under regulation 10.2 AoI.

7.1 I understand that it is my responsibility to make sure all the information provided in this application is correct and complete. ☐

7.2 I understand that if I have knowingly or recklessly given you information that is false or misleading (or if I failed to tell you about any significant information) you could take disciplinary action, or share information with a third-party that leads to disciplinary action. ☐

7.3 I understand that you may use any personal information from this application to perform your duties under relevant legislation. ☐

7.4 I understand that you might do whatever checks you think are necessary to process this information and make sure that it complies with the SRA Standards and Regulations. ☐

7.5 I confirm that the information I have given is correct to the best of my knowledge and belief ☐

Individual manager or individual practising under regulation 10.2 AoI

Provide details of the individual / individual manager making this declaration. Where a firm does not have any individual managers, a manager of the authorised corporate manager can make this declaration.

Forename(s)		Surname	
Email		SRA number	
Date			

Section 8 - Returning the form

To help us process your application, check that you have completed all relevant sections and that the form declaration has been completed correctly.

Once completed, email the form and any DBS checks (or overseas equivalents) to DBS@sra.org.uk.

Section 9 - What we will do with your data

Privacy notice

The Solicitors Regulation Authority Limited (SRA) is the 'data controller' of the personal information we collect. For more information about how we handle your personal data, read our Privacy notice.

Annex 1 - Schedule 3 to the MLR

Relevant offences

1. An offence under the Perjury Act 1911.
2. An offence under section 89 of the Criminal Justice Act 1967 (false written statements tendered in evidence).
3. An offence under section 20BB of the Taxes Management Act 1970 (falsification of documents).
4. An offence under section 11 of the European Communities Act 1972 (EU offences).
5. An offence under Article 10 of the Perjury (Northern Ireland) Order 1979 (false statutory declarations and other false unsworn statements).
6. An offence under the Customs and Excise Management Act 1979.
7. An offence under the Estate Agency Act 1979, or specified for the purposes of section 3 of that Act in the Estate Agents (Specified Offences) (No 2) Order 1991.
8. An offence under any of sections 1 to 5 of the Forgery and Counterfeiting Act 1981 (counterfeiting offences).
9. An offence under section 35 of the Administration of Justice Act 1985 (penalty for pretending to be a licensed conveyancer or recognised body).
10. An offence under section 11(1) (undischarged bankrupts) or 13 (criminal penalties) of the Company Directors Disqualification Act 1986.
11. An offence under section 1, 2, 3, 3ZA or 3A of the Computer Misuse Act 1990 (computer misuse offences).
12. An offence under section 112 (false representations or obtaining benefit) or 114 (offences relating to contributions) of the Social Security Administration Act 1992.
13. An offence under section 52 of the Criminal Justice Act 1993 (the offence of insider dealing).
14. An offence under the Value Added Tax Act 1994.
15. An offence under section 44(2) of the Criminal Law (Consolidation) (Scotland) Act 1995 (false statement and declarations).
16. An offence under the Data Protection Act 1998.
17. An offence under the Terrorism Act 2000.
18. An offence under paragraph 7(2) or (3) of Schedule 3 to the Anti-Terrorism, Crime and Security Act 2001 (offences).
19. An offence under the Money Laundering Regulations 2001, the Money Laundering Regulations 2003, the Money Laundering Regulations 2007 or under these Regulations.
20. An offence under section 35 of the Tax Credits Act 2002 (offence of fraud).
21. An offence under Part 7 (money laundering) or Part 8 (investigations) of, or listed in Schedule 2 (lifestyle offences: England and Wales), 4 (lifestyle offences: Scotland) or 5 (lifestyle offences: Northern Ireland) to, the Proceeds of Crime Act 2002.
22. An offence under the Commissioners for Revenue and Customs Act 2005.
23. An offence under the Terrorism Act 2006.
24. An offence under section 1, 2, 6 or 7 of the Bribery Act 2010 (bribery).
25. An offence under section 45 of the Serious Crime Act 2015 (offence of participating in activities of organised crime gang).
26. An offence under Parts 1 (general privacy protections); 2 (lawful interception of communications), 3 (authorisations for obtaining communications data), 5 (equipment interference), 6 (bulk warrants) and 7 (bulk personal dataset warrants) of the Investigatory Powers Act 2016.
27. An offence under section 45 (failure to prevent facilitation of UK tax evasion offences) or 46 (failure to prevent facilitation of foreign tax evasion offences) of the Criminal Finances Act 2017.

27A. An offence under the Data Protection Act 2018, apart from an offence under section 173 of that Act.

28. An offence of cheating the public revenue.
29. An offence under the law of any part of the United Kingdom consisting of being knowingly concerned in, or in taking steps with a view to, the fraudulent evasion of tax.
30. Any offence which has deception or dishonesty as one of its components.
31. The common law offences of conspiracy to defraud and perverting the course of justice.
32. An offence of attempting, conspiring or inciting the commission of an offence specified in this Schedule.
33. An offence under section 44 of the Serious Crime Act 2007 of doing an act capable of encouraging or assisting the commission of an offence specified in this Schedule.

34. An offence of aiding, abetting, counselling or procuring the commission of an offence specified in this Schedule.
35. An act which—
    (a) constituted an offence under the law of a foreign country, and
    (b) would have constituted an offence under any of paragraphs 1 to 34 under the law of any part of the United Kingdom if it had been done—
        (i) in that part of the United Kingdom;
        (ii) by a person who is linked to part of the United Kingdom (within the meaning of paragraph 5(3 of Schedule 7A to the Proceeds of Crime Act 2002 (connection with relevant part of the United Kingdom)(208)); or
        (iii) as regards the United Kingdom.

Annex 2 - New beneficial owners, officers and / or managers continued...

Forename(s)	Surname	SRA number	Email address	Start date	UK resident in last 5 yrs?	Relevant conviction?	DBS check obtained?