

# FA10b - Make changes to your anti-money laundering authorisation



Use this form to tell us about changes, including to the work that your firm carries out and the nomination of new role holders under the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (the MLRs).

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

## Section 1 - Your firm

1.1 Firm name	SRA number
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## Section 2 - Your firm's services

You should only complete this section if you need to tell us about any changes to the services your firm provides since your last money laundering 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 MLRs 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 MLRs. Failure to do so may result in breaches of both our Standards and Regulations and of the MLRs resulting in you committing a criminal offence.**

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

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

2.2 The buying and selling of real property or business entities	<b>Started</b>	<b>Stopped</b>
2.3 The managing of client money, securities or other assets	<b>Started</b>	<b>Stopped</b>
2.4 The opening or management of bank, savings or securities accounts	<b>Started</b>	<b>Stopped</b>
2.5 The organisation of contributions necessary for the creation, operation or management of companies	<b>Started</b>	<b>Stopped</b>
2.6 The creation, operation or management of trusts, companies, foundations or similar structures	<b>Started</b>	<b>Stopped</b>

### Trust or company service providers

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 companies or other legal persons   | <b>Started</b> | <b>Stopped</b> |
| 2.8 Acting or arranging for another person to act;<br>i) as a director or secretary of a company,<br>ii) as a partner in a partnership, or<br>iii) in a similar capacity in relation to other legal persons                                  | <b>Started</b> | <b>Stopped</b> |
| 2.9 Providing a registered office, business correspondence or administrative address or other related services for a company, partnership or any other legal person or arrangement   | <b>Started</b> | <b>Stopped</b> |
| 2.10 Acting or arranging for another person to act as;<br>i) a trustee of an express trust or similar legal arrangement, or<br>ii) a nominee shareholder for a person other than a company whose securities are listed on a regulated market | <b>Started</b> | <b>Stopped</b> |

### Tax advisers

- |  |                |                |
|--|----------------|----------------|
| 2.11 Offering material aid, or assistance or advice, in connection with the tax affairs of other persons, whether provided directly or through a third party | <b>Started</b> | <b>Stopped</b> |
|--|----------------|----------------|

### Other

- |   |                |                |
|---|----------------|----------------|
| 2.12 Auditors, insolvency practitioners, external accountants and or estate agents? | <b>Started</b> | <b>Stopped</b> |
|---|----------------|----------------|

The SRA cannot supervise auditors, insolvency practitioners, external accountants or estate agents under the MLRs. If you tick Yes to 2.12 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 - Your firm's Money Laundering Reporting Officer (MLRO)

Complete this section if you want to change your nominated officer responsible under regulation 21(3) of the MLRs.

We will remove the previous role holder from our records.

You must also list this officer in Section 5 if they have not previously had approval as an AML officer for the firm.

Forename(s)

Surname

Title

Date of birth

SRA no

Phone

Email

Start date

## Section 4 - Your firm's Money Laundering Compliance Officer (MLCO)

Complete this section if you want to change the firm's nominated officer responsible for compliance with the MLRs under regulation 21(2).

We will remove the previous role holder from our records.

You must also list this officer in Section 5 if they have not previously had approval as an AML officer for the firm.

Forename(s)

Surname

Title

Date of birth

SRA no

Phone

Email

Start date

## Section 5 - New managers, beneficial owners and officers

Tell us about new individuals that, under the MLRs, are considered a manager, beneficial owner or officer of the firm. If you need to remove individuals who no longer hold these roles you can do so in mySRA. Include in the table your firm's Reporting and Compliance officers if you have completed Sections 3 and/or 4. Relevant convictions are listed in Schedule 3 of the MLRs and are reproduced at Annex 1. If you need more lines, use the table provided at Annex 2.

### DBS checks

You must complete a basic disclosure and barring service (DBS) check for each individual listed and have the results when you make this application. Read our guidance on

If you have obtained your checks from the Disclosure & Barring Service, provide the DBS Share Code and last six digits of the certificate number for each individual. If you are unable to obtain a Share Code, send a copy of the certificate to

If you have obtained checks from an alternative provider you must send a copy of the check outcome for each individual with this form.

Forename(s)	Surname	Start date	Email address	SRA number	UK resident in last 5 yrs?	Relevant conviction?	DBS share code	Certificate no (last 6 digits)

## Section 6 - Fit and proper declarations

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 the “New managers, beneficial owners and officers” section have any unspent criminal convictions that are listed in schedule 3 of the MLRs

One or more of the individuals listed in the “New managers, beneficial owners and officers” section have unspent criminal convictions that are listed in schedule 3 of the MLRs

**Schedule 3 of the MLRs is reproduced at Annex 1**

6.2 Confirm that you have provided DBS checks for all individuals listed in this application

## Section 7 - Declaration

**This section must be completed by the firm’s COLP or an individual manager**

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

### **COLP/Individual manager**

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

Forename(s)

Surname

Email

SRA no

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.

## **Section 9 - What we will do with your data**

**Privacy notice**

# Annex 1 - Schedule 3 of the MLRs

## 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).
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.
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.
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 managers, beneficial owners and officers continued...**

Forename(s)	Surname	Start date	Email address	SRA number	UK resident in last 5 yrs?	Relevant conviction?	DBS share code	Certificate no (last 6 digits)