

# Guidance

**Important:** 'Guidance on the SRA Standards and Regulations is intended for reference only until the 25 November 2019, when the new SRA Standard and Regulations [<https://beta.sra.org.uk/>] come into effect.

## *Guidance on the SRA Standards and Regulations and SRA Handbook*

Adequate and appropriate indemnity insurance

12 September 2019

[/solicitors/guidance/ethics-guidance/adequate-and-appropriate-indemnity-insurance/](#) Client care letters

23 July 2019

[/solicitors/guidance/ethics-guidance/client-care-letters/](#) Acting with integrity

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[/solicitors/guidance/ethics-guidance/acting-with-integrity/](#) Registered Foreign Lawyers

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[/solicitors/guidance/ethics-guidance/registered-foreign-lawyers/](#) Not for profit sector - summary

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[/solicitors/guidance/ethics-guidance/not-for-profit-sector-summary/](#) Unregulated organisations - Conflict and confidentiality

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[/solicitors/guidance/ethics-guidance/unregulated-organisations-conflict-and-confidentiality/](#) Unregulated organisations - giving information to clients

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[/solicitors/guidance/ethics-guidance/unregulated-organisations-giving-information-to-clients/](#) Unregulated organisations - for employers of SRA-regulated lawyers

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[/solicitors/guidance/ethics-guidance/unregulated-organisations-for-employers-of-sra-regulated-lawyers/](#) Guidance on the SRA's approach to equality, diversity and inclusion

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[/solicitors/guidance/ethics-guidance/guidance-on-the-sra-s-approach-to-equality-diversity-and-inclusion/](#) Firm authorisation

04 July 2019

[/solicitors/guidance/ethics-guidance/firm-authorisation/](#) Can my business be authorised?

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[/solicitors/guidance/ethics-guidance/can-my-business-be-authorised-/](#) Does my business need to be authorised?

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[/solicitors/guidance/ethics-guidance/does-my-business-need-to-be-authorised-/](#) Preparing to become a sole practitioner or an SRA-regulated freelance solicitor

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[/solicitors/guidance/ethics-guidance/preparing-to-become-a-sole-practitioner-or-an-sra-regulated-independent-solicitor/](#) When do I need a practising certificate?

04 July 2019

[/solicitors/guidance/ethics-guidance/when-do-i-need-a-practising-certificate-/](#) Accountant's report and the exemption to obtain one

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[\[solicitors/guidance/ethics-guidance/accountant-s-report-and-the-exemption-to-obtain-one/\]](#) Do I need to operate a client account?

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[\[solicitors/guidance/ethics-guidance/do-i-need-to-operate-a-client-account-7/\]](#) Helping you keep accurate client accounting records

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[\[solicitors/guidance/ethics-guidance/joint-accounts-and-record-keeping/\]](#) Planning for and completing an accountant's report

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[\[solicitors/guidance/ethics-guidance/planning-for-and-completing-an-accountant-s-report/\]](#) Third party managed accounts

04 July 2019

[\[solicitors/guidance/ethics-guidance/third-party-managed-accounts/\]](#) Government's Technical Notice on the impact of a 'no deal' EU exit scenario on EU lawyers practising in the UK

10 April 2019

[\[solicitors/guidance/ethics-guidance/governments-technical-notice-on-the-impact-of-a-no-deal-eu-exit-scenario-on-eu-lawyers-practising-in-the-uk/\]](#) Guidance note on the impact on exempt European lawyers of the Government's Statutory Instrument on the basis of a 'no deal' EU exit scenario

10 December 2018

[\[solicitors/guidance/ethics-guidance/guidance-on-the-impact-on-exempt-european-lawyers-of-the-governments-statutory-instrument-on-the-basis-of-a-no-deal-eu-exit-scenario/\]](#) Publishing complaints procedure

15 November 2018

[\[solicitors/guidance/ethics-guidance/publishing-complaints-procedure/\]](#) Transparency in price and service

06 December 2018

[\[solicitors/guidance/ethics-guidance/transparency-in-price-and-service/\]](#) Engaging with online reviews

01 October 2018

[\[solicitors/guidance/ethics-guidance/engaging-with-online-reviews/\]](#) Law firms carrying on insurance distribution activities

07 September 2018

[\[solicitors/guidance/ethics-guidance/law-firms-carrying-on-insurance-distribution-activities/\]](#) The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017

02 March 2018

[\[solicitors/guidance/ethics-guidance/the-money-laundering-terrorist-financing-and-transfer-of-funds-information-on-the-payer-regulations-2017/\]](#) Third-party-managed accounts (TPMA)

06 December 2017

[\[solicitors/guidance/ethics-guidance/third-party-managed-accounts-tpma/\]](#) Anti money laundering

18 September 2017

[\[solicitors/guidance/ethics-guidance/anti-money-laundering/\]](#) Does my employer need to be authorised by an approved regulator?

12 September 2017

[\[solicitors/guidance/ethics-guidance/does-my-employer-need-to-be-authorised-by-an-approved-regulator-7/\]](#) Transgender inclusion in the profession

30 March 2017

[\[solicitors/guidance/ethics-guidance/transgender-inclusion-in-the-profession/\]](#) Accountant's report (AR1) and guidance for firms and accountants

01 August 2017

[\[solicitors/guidance/ethics-guidance/accountant-s-report-and-guidance-for-firms-and-accountants/\]](#) Access to and disclosure of an

incapacitated person's will

13 March 2017

[\[solicitors/guidance/ethics-guidance/access-to-and-disclosure-of-an-incapacitated-persons-will/\]](#) Risk factors in immigration work

07 December 2016

[\[solicitors/guidance/ethics-guidance/risk-factors-in-immigration-work/\]](#) The Insurance Act 2015 and consequential changes to the minimum terms and conditions of professional indemnity insurance

06 July 2016

[\[solicitors/guidance/ethics-guidance/the-insurance-act-2015-and-consequential-changes-to-the-minimum-terms-and-conditions-of-professional-indemnity-insurance/\]](#) European Lawyers practising in the UK

22 April 2016

[\[solicitors/guidance/ethics-guidance/european-lawyers-practising-in-the-uk/\]](#) SRA consumer credit

22 December 2015

[\[solicitors/guidance/ethics-guidance/consumer-credit/\]](#) Disclosure of client's confidential information

05 February 2016

[\[solicitors/guidance/ethics-guidance/disclosure-of-client-confidential-information/\]](#) Chapter 12 of the SRA Code of Conduct 2011 - the separate business rule (SBR)

21 October 2015

[\[solicitors/guidance/ethics-guidance/chapter-12-of-the-sra-code-of-conduct-2011-the-separate-business-rule-sbr/\]](#) Professional Indemnity Insurance cover

14 July 2015

[\[solicitors/guidance/ethics-guidance/professional-indemnity-insurance-cover/\]](#) Offering inducements to potential clients or clients

13 April 2015

[\[solicitors/guidance/ethics-guidance/offering-inducements-to-potential-clients-or-clients/\]](#) Protecting and maintaining client confidentiality

09 January 2015

[\[solicitors/guidance/ethics-guidance/protecting-and-maintaining-client-confidentiality/\]](#) Sole Practitioners and Small firms regulatory starter pack

08 January 2016

[\[solicitors/guidance/ethics-guidance/sole-practitioners-and-small-firms-regulatory-starter-pack/\]](#) Withdrawal of residual client balances

31 October 2014

[\[solicitors/guidance/ethics-guidance/withdrawal-of-residual-client-balances/\]](#) Do I need a practising certificate?

17 September 2014

[\[solicitors/guidance/ethics-guidance/do-i-need-a-practising-certificate-/\]](#) Rights of audience in the Single Family Court

10 September 2014

[\[solicitors/guidance/ethics-guidance/rights-of-audience-in-the-single-family-court/\]](#) Drafting and preparation of wills

11 July 2014

[\[solicitors/guidance/ethics-guidance/guidance-on-the-drafting-and-preparation-of-wills/\]](#) Your client's right to complain when instructing barristers

04 March 2014

[\[solicitors/guidance/ethics-guidance/your-client-s-right-to-complain-when-instructing-barristers/\]](#) Employer's solicitors attending HSE interviews with employees

05 February 2014

[\[solicitors/guidance/ethics-guidance/employer-s-solicitors-attending-hse-interviews-with-employees/\]](#) Does your interest in an ABS require SRA approval?

07 March 2014

[\[solicitors/guidance/ethics-guidance/does-your-interest-in-an-abs-require-sra-approval-\]](#) Does your firm need to be authorised as an ABS?

20 November 2013

[\[solicitors/guidance/ethics-guidance/does-your-firm-need-to-be-authorised-as-an-abs-\]](#) Suitability, LDPs, waivers, fees

12 July 2013

[\[solicitors/guidance/ethics-guidance/suitability-ldps-waivers-fees-\]](#) Closing down your practice

02 November 2015

[\[solicitors/guidance/ethics-guidance/closing-down-your-practice-\]](#) The prohibition of referral fees in the Legal Aid, Sentencing and Punishment of Offenders Act 2012 (LASPO) Sections 56-60

25 March 2013

[\[solicitors/guidance/ethics-guidance/prohibition-of-referral-fees-in-laspo-56-60-\]](#) NatWest and RBS account holders

26 June 2012

[\[solicitors/guidance/ethics-guidance/natwest-and-rbs-account-holders-\]](#) Form AR2 - accountant's report form for an overseas practice

18 February 2013

[\[solicitors/guidance/ethics-guidance/form-ar2-accountant-s-report-form-for-an-overseas-practice-\]](#) Notes for AR2 - accountant's report form for an overseas practice

05 January 2012

[\[solicitors/guidance/ethics-guidance/notes-for-ar2-accountant-s-report-form-for-an-overseas-practice-\]](#) Dealing with claims for mis-sold payment protection insurance (PPI)

04 January 2012

[\[solicitors/guidance/ethics-guidance/dealing-with-claims-for-mis-sold-payment-protection-insurance-\]](#) In-house lawyers, regulation and the Legal Services Act 2007

17 October 2011

[\[solicitors/guidance/ethics-guidance/in-house-lawyers-regulation-and-the-legal-services-act-2007-\]](#)