

Existing firm applications

Updated 17 August 2016

Notify us of change to your compliance officers

- [Get ready \[#3351\]](#)
- [Complete your notification \[#1093\]](#)
- [Send us your notification \[#4607\]](#)
- [What happens next \[#9593\]](#)

Some compliance officer roles do not need approval. You just need to tell us about the change.

Check whether your firm and individual is eligible to make this notification by looking at Rule 13.3 of the SRA Authorisation Rules 2011 [[solicitors/handbook/introAuthPrac/authorisationrules/part4/](#)].

If you meet the deeming criteria you need to tell you wish to appoint a new compliance officer.

Information you will need

Firm

You must confirm the following:

- that the annual turnover is no more than £600,000
- tell us in advance of the compliance officer taking up their role in order to meet the eligibility requirements.

Individuals

You must confirm the following

- the individual is either a sole practitioner or a lawyer who is a manager of the authorised body (If the individual is not deemed approved as a manager under Rule 13.2 of the SRA Authorisation Rules 2011 [[solicitors/handbook/authorisationrules/part4/](#)], they must have already received approval from the SRA to be a [lawyermanager](#))
- the individual is not subject to any adverse regulatory history
- we have not previously refused or withdrawn its approval of that person to be a compliance officer; and
- the individual is not a compliance officer of any other authorised body.

Help with your notification

Contact us [[contactus](#)] if you have any queries before you submit your notification.

How to tell us

You need to complete the deemed approved compliance officer notification form (FA6). You must tell us before the person takes up the role as compliance officer.

Notification forms

- Deemed Approved Compliance Officer Advance Notification form (Editable PDF 3 pages, 649K) [[globalassets/documents/solicitors/firm-based-authorisation/deemed-approved-colp-cofa-form.pdf?version=4a1ab7](#)] and guidance notes (PDF 5 pages, 215K) [[globalassets/documents/solicitors/firm-based-authorisation/deemed-approved-colp-cofa-notes.pdf?version=4a1ab7](#)]

The notification forms are editable PDF documents. You need to fill it in electronically. You should save the form before you start completing it.

For help downloading or using the form(s), see "How to use the form" in our Firm authorisation guidance.

Form

Send your notification to the email address on the form.

Fee

There is no fee for this notification.

What you can expect from us

We will acknowledge your notification within one working day. We will let you know if your notification is incomplete or ineligible.

Timescales

We aim to make decisions within 30 days.

A new compliance officer cannot not take up their post until you have notified us.