SRA Standards and Regulations

The standards and requirements we expect our regulated community to achieve and observe, for the benefit of the clients they serve and in the public interest

Index of SRA Standards and Regulations

The index will help you find where various themes occur across the Standards and Regulations.

Standards and Regulations resources

Our shorter, simpler Standards and Regulations focus on high professional standards and protecting the public. Learn more

Archive: SRA Handbook

The SRA Handbook was replaced by the SRA Standards and Regulations on 25 November 2019.

Principles

The fundamental tenets of ethical behaviour that we, the SRA, expect of those that we regulate.

Last updated: 25 November 2019

Code of Conduct for Solicitors, RELs and RFLs

The standards that we, the SRA, and the public expect of individuals (solicitors, registered European lawyers and registered foreign lawyers).

Last updated: 25 November 2019

Code of Conduct for Firms

The standards and business controls that we, the SRA, and the public expect of firms (including sole practices).

Last updated: 25 November 2019

Accounts Rules

Our requirements for when firms (including sole practices) authorised by us receive or deal with money belonging to clients.

Last updated: 25 November 2019

Application, Notice, Review and Appeal Rules

Our processes for handling applications made to us and the process for internal reviews and external appeals against our decisions.

Last updated: 31 December 2020

Assessment of Character and Suitability Rules

Our criteria for assessing character and suitability.

Last updated: 25 November 2019

Authorisation of Firms Rules

Our arrangements for authorising firms, including recognised bodies, licensed bodies and recognised sole practices.

Last updated: 31 December 2020

Authorisation of Individuals Regulations

Our arrangements for authorising individuals as solicitors, RELs and RFLs.

Last updated: 1 September 2021

Education, Training and Assessment Provider Regulations

Our requirements for organisations which provide or intend to provide education and training.

Last updated: 25 November 2019

Financial Services (Scope) Rules

The scope of the regulated financial services activities that may be undertaken by firms we authorise.

Last updated: 25 November 2019

Financial Services (Conduct of Business) Rules

Our rules for firms we authorise who are permitted to undertake regulated financial services activities.

Last updated: 31 December 2020

Overseas and Cross-border Practice Rules

The standards we, the SRA, expect of regulated individuals and firms when practising overseas.

Last updated: 25 November 2019

Regulatory and Disciplinary Procedure Rules

How we investigate and take disciplinary and regulatory action.

Last updated: 31 May 2021

Statutory Trust Rules

Our obligations relating to any money we take possession of after an intervention.

Last updated: 25 November 2019

Roll, Registers and Publication Regulations

The nature and contents of the registers and the roll that we are required to keep.

Last updated: 25 November 2019

Transparency Rules

The information which should be made available to clients and potential clients.

Last updated: 25 November 2019

Indemnity (Enactment) Rules 2012

Our rules to enact the indemnity rules.

Last updated: 25 November 2019

Indemnity Rules 2012

Our rules to govern the operation of the Solicitors Indemnity Fund.

Last updated: 1 October 2020

Compensation Fund Rules

Our rules to govern the way that we operate the SRA Compensation Fund.

Last updated: 5 July 2021

Indemnity Insurance Rules

Our indemnity insurance requirements for firms that we authorise.

Last updated: 25 November 2019

The prescribed organisations and terms under which Solicitors, RELs and RFLs are allowed to hold client money in their own name

Last updated: 25 November 2019

The prescribed circumstances in which you can withdraw client money from client account to pay to a charity of your choice

Last updated: 25 November 2019

Glossary

Definitions of the terms we use in our rules.

Last updated: 31 December 2020