

Why it matters

How our proposals would affect you

I am a solicitor working in house for a firm that is not authorised by an approved regulator

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms.
- The Code of Conduct for Solicitors sets out what is expected in terms of standards and behaviours
- If you are providing non reserved legal services to the public, then Section 8 of the Code of Conduct for Solicitors will also apply
- Your obligations in the Code of Conduct for Solicitors will be clearer than they are now and will, to a large extent, replicate those of solicitors in private practice
- The Code of Conduct will be shorter and easier to use than the current version
- You will be able to provide non reserved legal services to the public without your employer requiring our authorisation

I am a solicitor working in an SRA authorised law firm

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms
- The Code of Conduct for Solicitors, sets out what is expected in terms of standards and behaviours
- If you are a manager in the firm, you will also be liable for compliance with the Code of Conduct for Firms
- Your obligations in the Code of Conduct for Solicitors and the Code of Conduct for Firms will be clearer than they are now
- The Codes of Conduct will be shorter and easier to use than the current version

I am a COLP

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms



- The Code of Conduct for Solicitors sets out what is expected in terms of standards and behaviours
- Managers in the firm will also be liable for compliance with the Code of Conduct for Firms
- The responsibilities for COLPs are broadly the same as your current obligations, but the Codes themselves will be shorter and easier to use

I am a sole practitioner

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms.
- The Code of Conduct for Solicitors, sets out what is expected in terms of standards and behaviours
- As a sole practitioner you will also be liable for compliance with the Code of Conduct for Firms
- The Codes will be shorter and easier to use than the current version
- If you do not provide any reserved legal services to the public, you can choose not to have sole practitioner status, in which case only the Code of Conduct for Solicitors will apply.
- However, you will not be able to describe your firm as a solicitors firm or as regulated by the SRA, you will no longer be able to hold client money in your capacity as a solicitor, and your clients will not get the benefit of the Compensation Fund.

I am Registered European Lawyer

- You will be subject to revised Principles and a revised Code of Conduct for Solicitors
- Your obligations under this Code of Conduct for Solicitors will be clearer than they are now
- The Code will be shorter and easier to use than the current version

I am an organisation authorised by the SRA

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms
- The Code of Conduct for Solicitors sets out what is expected in terms of standards and behaviours
- The Codes will be shorter and easier to use than they are now



- If you do not provide any reserved legal services to the public, then you can choose to be no longer authorised by the SRA, in which case the Code of Conduct for Firms will no longer apply to you.
- However, you will not be able to describe your firm as a solicitors firm or as regulated by the SRA and your clients will not get the benefit of the Compensation Fund.

I am a COFA

- Under our new arrangements, there will be separate Codes of Conduct for Solicitors and for Firms.
- The Code of Conduct for Solicitors, sets out what is expected in terms of standards and behaviours
- Managers in the firm will also be liable for compliance with the Code of Conduct for Firms
- There will be obligations for COFAs in the new Code of Conduct for Firms that broadly match your current obligations
- The Codes of Conduct and the Accounts Rules will be simpler and easier to use than the current versions
- You and the firm's managers will be jointly and severally responsible for compliance by the firm, its managers and employees with the Accounts Rules
- Both Codes of Conduct will set out a clear obligation on individuals and firms to safeguard money and assets entrusted to them by clients and others