

# SRA Roll, Registers and Publication Regulations



Guidance, changes, terms, notes and tags

## Introduction

These regulations set out the nature and contents of the registers and the roll that the SRA is required to keep. They contain certain information about the individuals and firms that the SRA regulates and how we make this information available to the public.

This introduction does not form part of the SRA Roll, Registers and Publication Regulations.

## SRA Roll, Registers and Publication Regulations

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### Regulation 1: The roll and registers

**1.1** The SRA shall keep in electronic form:

- (a) the roll;
- (b) a register of all solicitors who hold practising certificates;
- (c) the register of European lawyers;
- (d) the register of foreign lawyers; and
- (e) a register of authorised bodies.

### Regulation 2: Information in respect of individuals

**2.1** The roll, and the registers in regulation 1.1(b) to (d) shall contain the following information in respect of each individual included in the same:

- (a) their full name;
- (b) their authorisation number;
- (c) the date of their admission as a solicitor or commencement of their registration, as appropriate;
- (d) in respect of solicitors that hold a current practising certificate, the fact that they do so and the

commencement date of the certificate;

- (e) in respect of solicitors whose practising certificate has expired, the expiry date;
- (f) their main practising address;
- (g) the name of all organisations through which they practise, and whether the organisation is authorised by the SRA by another approved regulator, or is not authorised under the LSA. If they are not practising through an organisation, the fact that this is the case, and whether they are practising in accordance with regulation 10.2(a) of the SRA Authorisation of Individuals Regulations or the circumstances set out in 10.2(b)(ii) to (vii) of the same;
- (h) if they are not practising, an address for correspondence;
- (i) details of:
  - (i) any conditions on their practising certificate or registration to which they are subject;
  - (ii) any current suspension of their practising certificate or registration;
  - (iii) any other decision subject to publication under rule 9.2 of the SRA Regulatory and Disciplinary Procedure Rules;
  - (iv) any other order made by the Tribunal and
  - (v) the exercise by the SRA of any powers of intervention in relation to their practice.

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### Regulation 3: Information in respect of authorised bodies □

**3.1** The register of authorised bodies under regulation 1.1(e) shall contain the following information in respect of each body included within it:

- (a) the name under which the body is authorised;
- (b) the body's authorisation number;
- (c) the body's main practising address in the UK;
- (d) all the body's other practising addresses including addresses of its overseas practices;
- (e) any previous name under which the body has been authorised by the SRA;
- (f) any other trading styles used by the body;
- (g) the date from which the body's authorisation has effect;
- (h) the prescribed categories of work that the body provides;
- (i) the reserved legal activities that the body is authorised to carry on;
- (j) whether the body is a recognised body, a recognised sole practice or a licensed body;
- (k) details of:
  - (i) any current condition to which the body's authorisation is subject;
  - (ii) any suspension or revocation of the body's authorisation;
  - (iii) any other decision subject to publication under rule 9.2 of the SRA Regulatory and Disciplinary Procedure Rules;

- (iv) any other order made by the Tribunal and
- (v) the exercise by the SRA of any powers of intervention in relation to the body.

**3.2** For each licensed body the register of authorised bodies must contain:

- (a) the name of the individual who is designated as the body's HOLP together with details of the approved regulator with whom that person is authorised;
- (b) the name of the individual who is designated as the body's HOPA and
- (c) the body's registered office and registered number if it is an LLP or company and if it is a charity its charity number.

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## Regulation 4: General provisions □

**4.1** The SRA may include in the roll or registers such other prescribed information it considers conducive to help it meet the regulatory objectives.

**4.2** The SRA shall keep and publish lists of:

- (a) orders made by the Tribunal and disciplinary or regulatory decisions made under the SRA Regulatory and Disciplinary Procedure Rules, in respect of individuals who are not solicitors, REs or RFLs (including former solicitors, REs or RFLs); and
- (b) individuals whose practising certificate has expired or who have been struck off the roll, or whose registration has been revoked, together with details of any relevant decision.

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## Regulation 5: Publication of information □

**5.1** The SRA shall publish all entries on the roll or registers, except for any address included under regulation 2.1(h).

**5.2** If the SRA considers that it would be in the public interest to do so, it may withhold from publication any or all of the information subject to publication under regulation 5.1.

**5.3** The SRA may publish such further information or classes of information as it may consider in the public interest to do so.

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## Supplemental notes

Made by the SRA Board on 30 May 2018.

Made under section 28 of the Solicitors Act 1974, section 89 of, and paragraphs 2 and 3 of Schedule 14 to, the Courts and Legal Services Act 1990, section 9 of the Administration of Justice Act 1985 and section 83 of, and Schedule 11 to, the Legal Services Act 2007.

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