

## SRA Authorisation of Individuals Regulations

[/ Guidance, changes, terms, notes and tags](#)

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?docId=18978403671\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?docId=18978403671)

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### Introduction

These regulations set out the SRA's requirements relating to the authorisation of individuals as solicitors in terms of admission, and the issuing of practising certificates and the registration of individuals as an REL or RFL. They set out the effect of SRA authorisation on how an individual may practise, the requirements for and how the SRA will decide applications for authorisation, the conditions that apply during authorisation, and how authorisation may be revoked.

If you are unsure whether you are eligible for authorisation, or need to be authorised, please see our guidance.

They also set out the education and training requirements in place for those seeking to be admitted as solicitors, and to exercise higher rights of audience in the higher courts of England and Wales. Education and training underpins the regulation of solicitors and it seeks to ensure the development of competent and ethical practitioners. Note that regulations 3A-3F are transitional arrangements, and only apply to the individuals specified in Regulation 11.

The regulations also govern the qualification process for solicitors and barristers or other UK qualified lawyers seeking admission as a solicitor of England and Wales from another jurisdiction.

This introduction does not form part of the SRA Authorisation of Individuals Regulations.

### Part 1: Admission as a solicitor

[Open all \[#\]](#)

#### **Regulation 1: Eligibility for admission**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1775510115\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1775510115)

1. You will be eligible for admission as a [solicitor](#) [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) if the



[SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) is satisfied:

1. you have successfully and satisfactorily passed an assessment which is designed to assess your competence against the [prescribed \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) competences for solicitors and is conducted by an assessment organisation appointed by the SRA for the purpose;
2. you hold a [degree \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree) or qualifications or experience which the [SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) is satisfied are equivalent to a [degree \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree);
3. you have completed qualifying work experience which meets the requirements of regulation 2;
4. as to your [character and suitability \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) to be a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) and
5. you have evidenced proficiency in English or Welsh.

## **Regulation 2: Qualifying work experience**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1208056640\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1208056640)

2. Qualifying work experience must:
  2. comprise experience of providing legal services which provides you the opportunity to develop the [prescribed \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) competences for [solicitors \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor);
  3. be of a duration of a total of at least two years' full time or equivalent; and
  4. be carried out under an arrangement or employment with no more than four separate firms, educational institutions or other organisations.
3. In respect of each organisation under regulation 2.1(c) above, you must arrange for confirmation in the [prescribed \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) form of the matters set out in regulation 2.3 to be given by a person specified in (a) to (c) below who has taken sufficient steps to satisfy themselves as to those matters:
  2. the organisation's [COLP \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP);
  3. a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) working within the organisation; or
  4. if neither (a) or (b) are applicable, a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor)



working outside of the organisation who has direct experience of your work and who has, in order to be so satisfied:

2. undertaken a review of the work you have done during the relevant period of work experience, which may include review of a training diary or portfolio of work; and
  3. received feedback from the person or persons supervising your work.
4. The matters in respect of which confirmation by a person specified in regulation 2.2 must be given are:
2. details of the period of work experience carried out;
  3. that it provided you with the opportunity to develop some or all of the [prescribed](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed] competences for [solicitors](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor]; and
  4. that no issues arose during the period of work experience that raise a question as to your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability] to be admitted as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor], or if such confirmation cannot be given, then details of any such issues.

### **[Regulations 3.1 - 3.3: Eligibility for admission of qualified lawyers](#)**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=640603165\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=640603165)

3. You will be eligible for admission as a solicitor if the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied:
  3. you hold a legal professional qualification that is recognised by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA], which confers rights to practise in England and Wales or in an [overseas](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#overseas) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#overseas] jurisdiction; and
  4. subject to regulation 3.2, you meet the criteria in regulation 1.1(a), (b),(d) and (e).
4. Subject to regulation 3.3, if you hold a qualification recognised under regulation 3.1(a) and the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied that your qualifications and/or experience demonstrate that you meet some or all of the [prescribed](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed] competences, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] may decide you are exempt from the requirement to pass the assessment under regulation 1.1(a) or such parts of it as it considers appropriate.



5. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] will not exempt you from the requirement to pass the assessment under regulation 1.1(a) if you have previously taken and failed the part or parts of that assessment from which you seek exemption.

### **Regulation 3A: Eligibility requirements**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=73149690\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=73149690)

3. You will be eligible for admission as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor] if the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied:
  3. you have successfully and satisfactorily completed:
    3. an apprenticeship leading to qualification as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor]; or
    4. the [academic stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training] and the [vocational stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training]; and
  4. as to your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability] to be a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor].
4. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] may decide that it is satisfied that you have completed all or any part of the [academic stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training] or the [vocational stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training] by equivalent means.

### **Regulation 3B: Apprenticeships**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1653179863\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1653179863)

3. To complete an apprenticeship for the purposes of regulation 3A.1(a)(i), you must meet the requirements set out in the assessment plan for the Apprenticeship Standard for a Solicitor (England) approved by the Department for Business, Innovation and Skills, or set out in the Apprenticeship Framework specified in the Level 7 Higher Apprenticeship in Legal Practice (Wales). This must include successfully passing an assessment, which the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] either conducts or approves as suitable for the purpose of admission as a



[solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>]

4. If at any time the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] is not satisfied that you have successfully and satisfactorily completed an apprenticeship it may:
  3. refuse to recognise all or any part of that apprenticeship; or
  4. require you to take certain steps or undertake further training, subject to such conditions as it considers appropriate.

### **Regulation 3C: Academic stage**

[<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1085726388>]

3. Your eligibility to commence the [academic stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training>] will be determined according to the requirements, which may be approved by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>], of the relevant [approved education provider](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider>].
4. You may be entitled to credit for prior certified or experiential learning, which may entitle you to exemption from assessment in some subjects required by the [Joint Statement](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Joint-Statement) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Joint-Statement>]. You must make any application for credit for prior learning to the [approved education provider](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider>].

### **Regulation 3D: Vocational stage**

[<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=518272913>]

3. Your eligibility to commence the [Legal Practice Course](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Practice-Course) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Practice-Course>] will be determined according to the requirements, approved by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>], of the relevant [authorised education provider](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-education-provider) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-education-provider>].
4. Subject to regulation 3A.2, to complete the [vocational stage of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training>], you must complete:
  3. the [Legal Practice Course](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Practice-Course) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Practice-Course>];
  4. a [period of recognised training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training>]; and
  5. the Professional Skills Course.



## **Regulation 3E: Recognised training**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=2098303086\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=2098303086)

3. In order to satisfactorily complete your [period of recognised training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training), you must maintain a [record of training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#record-of-training) which:
  3. contains details of the work you have performed;
  4. records how you have applied and developed the skills, as set out in the [Practice Skills Standards](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Practice-Skills-Standards);
  5. records your reflections on, and your [training principal's](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#training-principal) appraisal of, your performance and development against, and your attainment of the skills set out in the [Practice Skills Standards](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Practice-Skills-Standards); and
  6. verified by the individual supervising you.
4. If at any time the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) is not satisfied that you have received, or are receiving, training that meets regulation 3E.1 above and regulation 4.1 of the SRA Education, Training and Assessment Provider Regulations, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may:
  3. refuse to recognise all or any part of that training; or
  4. require you to take certain steps or undertake further training, subject to such conditions as it considers appropriate.

## **Regulation 4: European Communities (Lawyer's Practice) Regulations 2000**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=963396136\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=963396136)

1. If you are an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or you were an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) immediately before the end of IP completion day, you will be eligible for admission as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) under Part V of the European Communities (Lawyer's Practice) Regulations 2000 to the extent that they continue to have effect in accordance with the Services of Lawyers and Lawyer's Practice (Revocation etc.) (EU Exit) Regulations 2020, if:
  1. you satisfy the requirements of those regulations; and
  2. the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) is satisfied as to your [character and](#)





[suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability>] to be a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>].

## Admission, retention, removal, and restoration to the roll

[Open all \[#\]](#)

### **Regulation 5.1 - 5.3: Application for admission**

<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations?contentId=1408519359>

5. You may apply for admission in writing in the [prescribed](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] form. Following an application for admission, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will issue you with a certificate of satisfaction if it is satisfied that you have met the eligibility requirements for admission as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] set out in this Part.
6. At any time before making an application for admission, you may apply to the SRA for an early assessment of your character and suitability to be a solicitor. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] is not bound, in any subsequent application for admission, by any decision it makes as to your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability>] to be a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] as a result of an early assessment.
7. As soon as reasonably practicable after the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has issued a certificate of satisfaction, you will be admitted as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] and your name entered on the roll, unless the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] receives information in writing that it is satisfied demonstrates that you should not be admitted. If so, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will give you written notice, providing you with the information it has received, and the opportunity to provide written representations within the period of 28 days from the date of the notice, following which it may decide not to admit you as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>].

### **Regulations 5.4 - 5.5: Retention**



[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=841065884\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=841065884)

5. If you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) and you do not hold a practising certificate the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) will write to you once a year at the last notified version of your postal or email address to ask you whether you wish your name to remain on the roll.
6. If, following an enquiry under regulation 5.4, you wish your name to remain on the roll, you shall be required to pay a fee of £20.

### **Regulations 5.6 - 5.10: Removal from and restoration to the roll**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=273612409\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=273612409)

5. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may remove your name from the roll if:
  9. following an enquiry made by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) under regulation 5.4:
    9. you tell the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) that you do not wish to remain on the roll;
    10. you do not, within eight weeks from the date of the notice, reply to the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) and pay the fee specified under regulation 5.5, or
    10. you apply to have your name removed from the roll.
6. Where regulation 5.6(a)(ii) applies, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) must not remove your name from the roll until it has given notice to you that it intends to do so.
7. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) shall remove your name from the roll on your death.
8. If your name has been removed from the roll, you may apply to the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) for your name to be restored to the roll and the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may, if it considers it appropriate to do so in reaching a decision on an application made under this regulation, assess your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) to be a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor).
9. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may decide not to remove your name from, or restore your name to, the roll under this regulation if you are subject to any proceedings, investigation, or consideration of your conduct or practice by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA). The





[SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) must not remove your name from, or restore your name to, the roll if you are the subject of disciplinary proceedings (either in progress or pending) before the senior [courts \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court) or the [Tribunal \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal)

## Part 2: Practising certificates for solicitors and registration as a European or foreign lawyer

[Open all \[#\]](#)

### **Regulation 6: Eligibility requirements**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=718735632\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=718735632)

6. The [SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) shall only grant an application for a practising certificate, or registration in the [register of European lawyers \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) or the [register of foreign lawyers \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers) if you meet the eligibility requirements in this regulation.
7. You will be eligible to apply for a practising certificate if:
  6. your name is on the roll; and
  7. you are not suspended from practice as a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor).
8. Subject to regulation 6.3A you will be eligible for registration in the [register of European lawyers \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) if:
  6. you are a European lawyer as defined in the European Communities (Lawyer's Practice) Regulations 2000, and you are a Swiss lawyer as defined in paragraph 2 of regulation 6 of The Services of Lawyers and Lawyer's Practice (Revocation etc.) (EU Exit) Regulations 2020;
  7. you intend to commence practice under your Swiss professional title as defined in the European Communities (Lawyer's Practice) Regulations 2000 on a permanent basis in England and Wales or Northern Ireland, and are legally entitled to do so;
  8. you have provided the [SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) with a certificate which is no more than three months old, confirming your registration with the competent authority in Switzerland under whose home professional title you intend to practise;



9. you are not struck off or suspended from the [register](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register], or subject to a direction from the [Tribunal](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal] prohibiting your restoration to the [register](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register]; and
10. the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied as to your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability] to be an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL].
9. At the end of the period of four years beginning with IP completion day, you will be eligible for registration in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers] if you satisfy the requirements of regulation 6.3 and you fall within paragraph 4 but not paragraph 5 of regulation 6 of The Services of Lawyers and Lawyer's Practice (Revocation etc.) (EU Exit) Regulations 2020.
10. You will be eligible for registration in the [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers] if:
  6. you are a [foreign lawyer](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#foreign-lawyer) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#foreign-lawyer] of a legal profession which the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied is so regulated as to make it appropriate for members of that profession to be [managers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager] of [recognised bodies](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body].;
  7. you are not struck off or suspended from the [register](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register], or subject to a direction from the [Tribunal](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal] prohibiting your restoration to the [register](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register]; and
  8. the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] is satisfied as to your [character and suitability](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability] to be an [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL].

## **Regulation 7: Determination of applications**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=151282157\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=151282157)

7. If the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] considers it to be in the public interest to do so, it must:



7. refuse your application for a practising certificate, or your application for registration or renewal of registration, in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] or the [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers>]; or
8. at any time, whether on grant of such an application or at the end of a period of suspension of a practising certificate or registration, or otherwise, impose such conditions on your certificate or registration as it thinks fit in accordance with regulations 7.2 and 7.3.
8. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may impose conditions under regulation 7.1(b) if it is satisfied for any reason, including health issues, lack of competence or misconduct, that you:
  7. are unsuitable to undertake certain activities or engage in certain business or practising arrangements;
  8. are putting, or are likely to put, at risk the interests of [clients](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>], third parties or the public;
  9. will not comply, or are unable to comply, with the SRA's regulatory arrangements (which includes your ability to engage with your regulator on any matter that may require investigation and take part in any regulatory or disciplinary process) or require monitoring of compliance with the SRA's regulatory arrangements; or
  10. should take specified steps conducive to the [regulatory objectives](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-objectives) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-objectives>].
9. The conditions imposed by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] under regulation 7.1(b) may:
  7. specify certain requirements that must be met or steps that must be taken;
  8. restrict the carrying on of particular activities or holding of particular roles; or
  9. prohibit the taking of specified steps without its approval.
10. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may vary or revoke any conditions on your practising certificate or registration.
11. Before imposing or varying any conditions on your practising certificate or registration, the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] shall give you no less than 28 days' notice of its intention to do so, inviting representations regarding the issues giving rise to the proposed conditions.
12. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may shorten or dispense with the 28 days' notice under regulation



7.5 where conditions are imposed on grant of your practising certificate or registration, or otherwise if it is satisfied that it is in the public interest to do so.

13. If the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) issues you with a practising certificate or registers you, or renews your registration, in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) or the [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers), you must pay the [prescribed](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) fee.

### **Regulations 8.1 - 8.3: Commencement, replacement, and renewal**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1731312330\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1731312330)

8. The commencement date for a practising certificate or for registration in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) or [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers) shall be the date specified by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) on the practising certificate or the register.
9. The replacement date for a practising certificate is 31 October following the issue of the certificate.
10. The renewal date for registration in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) or [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers) is the first 31 October following initial registration, and 31 October in each successive year.

### **Regulations 8.4 - 8.7: Revocation and expiry**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1163858855\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1163858855)

8. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may revoke a practising certificate, or withdraw registration in the [register of European lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers) or the [register of foreign lawyers](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers), at any time, if the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) is satisfied:
  8. that the practising certificate or registration was granted or renewed as a result of error, misleading or inaccurate information, or fraud;



9. that the replacement or renewal date has passed and an application has not been made for replacement of the practising certificate or renewal of the registration;
  10. that a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor), an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) has failed to pay the [prescribed](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed) fee required under regulation 7.7;
  11. subject to regulation 8.7(c), in the case of an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) that the eligibility requirements under regulations 6.3 and 6.4 are no longer met; or
  12. that an application for a replacement practising certificate or renewal of registration has been refused under regulation 7.1(a).
8. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) must not revoke a practising certificate or withdraw registration under regulation 8.4(a), (c) or (d) unless it has first given the person no less than 28 days' notice of its intention to do so, inviting representations regarding the issues giving rise to the proposed revocation or withdrawal of registration.
8. The [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) shall revoke a practising certificate or withdraw registration on the application of the person concerned, unless the applicant is subject to any proceedings, investigation, or consideration of their conduct or practice by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) or the [Tribunal](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal).
8. A practising certificate or registration will expire:
8. on the death of the [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor), [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL);
  9. if a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor), an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) is removed from, or struck off, the roll or [register](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register) or their registration is withdrawn;
  10. if an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) is no



longer eligible for registration under 6.3(a) or 6.4(a) respectively;

11. in the case of a practising certificate, when the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA] issues a replacement certificate;
12. in the case of a practising certificate which is suspended, on its replacement date, or if the replacement date has passed, 14 days after the suspension took effect; or
13. in the case of a registration which is suspended, on its next renewal date, or if a suspension takes effect after a renewal date but before renewal has been granted in respect of that renewal date, 14 days after the suspension took effect.

## What authorisation entitles you to do

[Open all \[#\]](#)

### [Regulations 9.1 - 9.4: Reserved legal activities](#)

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1608982078\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1608982078)

9. Subject to regulations 9.2, 9.3, 9.5 to 9.10 and 10.2(b), if you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor] with a current practising certificate, or an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL], you are entitled to carry on all [reserved legal activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities] except notarial activities.
10. If you are an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL] you may only exercise a right of audience before a [court](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court], conduct litigation or prepare court documents, in conjunction with a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor] or [barrister](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#barrister) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#barrister] who is authorised to do so.
11. If you are an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL] you may only:
  9. prepare instruments for remuneration creating or transferring an interest in land, and lodge documents relating to a transfer or charge of land, if you have a home professional title listed under Regulation 12 of the European Communities (Lawyer's Practice) Regulations 2000;
  10. carry on probate activities for remuneration if you have a home professional title listed under Regulation 13 of the European Communities (Lawyer's Practice) Regulations 2000.
12. If you are an [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL] you may only:





9. undertake advocacy in chambers in England and Wales under instructions given by a person who is authorised to do so;
10. under the direction and supervision of a person qualified to supervise:
  9. prepare [court](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court) documents;
  10. prepare instruments and the lodging of documents relating to the transfer or charge of land;
  11. prepare papers on which to found or oppose a grant of probate, or a grant of letters of administration;
  12. prepare trust deeds disposing of capital if you also are eligible to act as a [lawyer of England and Wales](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-England-and-Wales);
11. in relation to [immigration work](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work):
  9. undertake advocacy before immigration tribunals;
  10. have conduct of, and prepare documents for, immigration tribunal proceedings.

### **[Regulations 9.5 - 9.7C: Immigration work](#)**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1041528603\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1041528603)

9. Subject to regulation 9.7, if you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor), an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) you may undertake [immigration work](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work), provided that such work is undertaken:
  9. through an [authorised body](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body);
  10. through an [authorised non-SRA firm](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-non-SRA-firm) that is a qualified person under the Immigration and Asylum Act 1999;
  11. as an employee, for your employer or work colleagues; or
  12. through a non-commercial advice service which is registered with the Office of the Immigration Services Commissioner or is otherwise a qualified person under the Immigration and Asylum Act 1999
10. Where you undertake work under regulation 9.5(c) or (d) above, this must be undertaken by you personally and not by another person on your or your employer's behalf unless such person is a qualified person under the Immigration and Asylum Act 1999 other than under section 84(2)(e) of that Act.



11. If you undertake [immigration work](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work] through a body which is registered with the Office of the Immigration Services Commissioner, other than as permitted under regulation 9.5(d), you must be registered as an individual with the Office of the Immigration Services Commissioner or otherwise qualified to provide such services under the Immigration and Asylum Act 1999 and must undertake such work in that capacity.
12. For the purposes of regulation 9.7, you are not otherwise qualified to provide services under the Immigration and Asylum Act 1999 by virtue of your authorisation by the SRA to practise as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor], an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL] or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL].
13. Where you are undertaking work under 9.7 above, in the event of any conflict between the [SRA's regulatory arrangements](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements] and any requirements placed on you by the Office of the Immigration Services Commissioner, the latter shall prevail.
14. Nothing in regulations 9.5 to 9.7B restrict you from undertaking [immigration work](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work] if you fall within section 84(6) of the Immigration and Asylum Act 1999.

### **Regulation 9.8: Regulated claims management activities**

[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=474075128]

9. If you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor], an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL] or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL] you may carry on [regulated claims management activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities] or activities that would be [regulated claims management activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities] but for the exclusion in article 89N of the [Regulated Activities Order](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Regulated-Activities-Order) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Regulated-Activities-Order], provided that such work is undertaken through:
  9. a body authorised to carry on [reserved legal activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities]; or
  10. if the work does not comprise [reserved legal activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities]
    1. a body which has been granted permission to carry on [regulated claims management activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-claims-management-activities] by the



[FCA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FCA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FCA>] under Part 4A of [FSMA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA>]  
; or

2. as permitted under an exemption made in or under [FSMA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA>], to the general prohibition set out in section 19 of [FSMA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#FSMA>]

## **Regulation 9.9: Financial services activities**

[<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=2054105301>]

9. If you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>], an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>] or [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] you may carry on [regulated financial services activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-financial-services-activities) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulated-financial-services-activities>] under the SRA Financial Services (Scope) Rules, provided that such activities are undertaken through an [authorised body](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>].

## **Regulation 9.10: Higher rights of audience**

[<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=1486651826>]

9. If you are a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] or an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>] you may exercise civil or criminal advocacy in the [higher courts](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts>] if the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] is satisfied you have successfully and satisfactorily completed the appropriate [higher courts advocacy qualification](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts-advocacy-qualification) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts-advocacy-qualification>] and that you have done so after the date of your admission as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] or initial registration as an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>], or you are:
  1. an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>] or [lawyer](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer) [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] to whom the European Union (Recognition of Professional Qualifications) Regulations 2015 applies and you have applied for a qualification to exercise rights of audience in the [higher](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher)



[courts \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts)., and you have undertaken any further steps as the [SRA \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) specifies in order to gain the qualification; or

2. authorised by another [approved regulator \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-regulator\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-regulator) to exercise civil or criminal advocacy in the [higher courts \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts)..

## **Regulation 10: Practising on your own**

[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=919198351\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=919198351)

10. Subject to regulation 10.2, if you are a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor), or an [REL \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) you must not act as a [sole practitioner \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner) unless your practice is authorised as a [recognised sole practice \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice).
11. If you otherwise would be, you will not be regarded as acting as a [sole practitioner \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner) and you will not therefore need to be authorised as a [recognised sole practice \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice) if:
  10. your practice consists entirely of carrying on activities which are not [reserved legal activities \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities);
  11. any [reserved legal activities \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities) you carry on are provided through an [authorised body \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body) or an [authorised non-SRA firm \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-non-SRA-firm\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-non-SRA-firm)., or in circumstances in which you:
    10. have practised as a [solicitor \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) or an [REL \[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) for a minimum of three years since admission or registration;
    11. are self-employed and practise in your own name, and not through a trading name or service company;
    12. do not employ anyone in connection with the services that you provide;



13. are engaged directly by the [client](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) [with your fees](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#fees) payable directly to you;
14. have a practising address in the [UK](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#UK);
15. take out and maintain indemnity insurance that provides adequate and appropriate cover in respect of the services that you provide or have provided, whether or not they comprise [reserved legal activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities), taking into account any alternative arrangements you or your [clients](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#clients) may make; and
16. do not hold [client money](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client-money), save that you may hold money which falls within the category of [client money](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client-money) set out in rule 2.1(d) of the SRA Accounts Rules so long as:
  1. any money held for [disbursements](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#disbursements) relates to costs or expenses incurred by you on behalf of your [client](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) and for which you are liable; and
  2. you have informed your [client](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) in advance of where and how the money will be held; or
12. the only [reserved legal activities](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities) undertaken by you when practising on your own is administering oaths or statutory declarations and you meet the following conditions:
  10. you do not charge a fee for administering oaths or statutory declarations other than the statutory fee; and
  11. you do not provide the services of administering oaths or statutory declarations by way of business,

and you choose for your practice not to be authorised as a [recognised sole practice](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice).

## **Regulation 11: Commencement, revocation, and transitional provisions**



[\[https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=351744876\]](https://www.sra.org.uk/solicitors/standards-regulations/authorisation-individuals-regulations/?contentId=351744876)

11. Regulations 1.1 to 3.3 come into force on a date to be determined in an order made by the [SRA](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) Board. [Note: this date is 1 September 2021]
12. Subject to regulations 11.3 to 11.7, regulations 3A.1 to 3F.4 shall be revoked on the date determined in accordance with regulation 11.1.
13. Regulations 3A.1 to 3E.2 shall continue to have effect, in respect of those individuals falling within regulation 11.5, and for the purposes of regulation 11.6, until 31 December in the year of the eleventh anniversary of the date determined in accordance with regulation 11.1. [Note: this date is 31 December 2032]
14. Regulation 3F shall continue to have effect, in respect of those individuals who have passed the multiple-choice test of the Qualified Lawyers Transfer Scheme assessments at the date determined in accordance with regulation 11.1, until the first anniversary of that date.
15. Regulation 11.3 applies to any individual who has, at the date determined in accordance with regulation 11.1, started, or who has entered into a contractual agreement or made a non-refundable financial commitment to start, any of the following:
  11. a [Qualifying Law Degree](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Qualifying-Law-Degree);
  12. a [CPE](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#CPE);
  13. an [Exempting Law Degree](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Exempting-Law-Degree);
  14. an [Integrated Course](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Integrated-Course);
  15. the [Legal Practice Course](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Practice-Course); or
  16. a [period of recognised training](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training),and has not yet been admitted as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor).
16. An individual who falls within regulation 11.5 will be eligible to be admitted as a [solicitor](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) under either regulations 3A.1 to 3E.2, or under regulations 1.1 to 3.3.
17. Where an individual has made an application for admission on the basis of eligibility under either regulation 3A or regulation 3F, and it has not been determined at the point those regulations are revoked (and any continuation under regulation 11.3 has come to an end), then the application shall continue to be determined under those regulations as if they were still in force.
18. If you are:
  11. an [RFL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL);





12. were an [REL](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL) [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL] immediately prior to IP completion day; and
13. have made an application under regulation 29 of the European Communities (Lawyer's Practice) Regulations 2000 to which regulation 9 of The Services of Lawyers and Lawyer's Practice (Revocation etc.) (EU Exit) Regulations 2020 applies

you are entitled to continue to carry on or undertake those activities and that work you were entitled to do immediately prior to IP completion day under regulation 9 of these regulations until your application referred to in (c) has been finally determined or withdrawn.

## Supplemental notes

Rules made by the Solicitors Regulation Authority Board on 6 June 2023.

Made under sections 2, 13, 28, 31, 32, 33A, 34 and 37 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.

### SRA Authorisation of Individuals Regulations

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Guidance (4) []

### Tags

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[regulations/index/#12884941492\] Specific AOL & reserved activities](#)  
[\[https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941489\]](https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941489)  
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## Guidance

### Guidance

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[\[https://www.sra.org.uk/solicitors/guidance/vocational-training-for-trainee-solicitors/\]](https://www.sra.org.uk/solicitors/guidance/vocational-training-for-trainee-solicitors/)

Guidance: To help you understand the steps you need to take to complete the vocational part of training to become a solicitor.

#### [Preparing to become a sole practitioner or an SRA-regulated freelance solicitor - Guidance](#) [\[https://www.sra.org.uk/solicitors/guidance/preparing-sole-practitioner-regulated-independent-solicitor/\]](https://www.sra.org.uk/solicitors/guidance/preparing-sole-practitioner-regulated-independent-solicitor/)

Guidance: To help solicitors understand how to set up a business trading on their own account providing legal services to the public.

#### [When do I need a practising certificate? - Guidance](#) [\[https://www.sra.org.uk/solicitors/guidance/practising-certificate/\]](https://www.sra.org.uk/solicitors/guidance/practising-certificate/)

Guidance: To help you understand the circumstances in which you must have a practising certificate.

#### [Claims management activity - Guidance](#)

[\[https://www.sra.org.uk/solicitors/guidance/claims-management-activity/\]](https://www.sra.org.uk/solicitors/guidance/claims-management-activity/)

Guidance - Professional duties and key risks for solicitors, law firms and their employees when representing clients during claims.

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