

Apply to add a manager/owner

Updated 21 June 2022

If the manager / owner is not SRA authorised, they need to create a mySRA account [<https://www.sra.org.uk/mysra/activate-account/>] before you apply.

You will need to read rule 13 of the SRA Authorisation of Firms Rules [<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-firms-rules/>] to identify if the manager/owner meets the deeming criteria.

Rule 9.3 of the Authorisation of Firms Rules allows us, at our discretion, to decide certain managers may not need to be approved. However, this is only applicable where we have made such a decision. It does not allow for a firm to make that assessment for themselves and appoint managers without our prior approval.

If your firm carries out work that is subject to The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 [<https://www.sra.org.uk/solicitors/guidance/money-laundering-terrorist-financing-transfer-funds-information-payer-regulations-2017/>] (the MLRs) you must make sure that you also apply for approval [<https://www.sra.org.uk/solicitors/firm-based-authorisation/anti-money-laundering-authorisation/>] of any individuals listed on this form who are beneficial owners, officers and/or managers [<https://www.sra.org.uk/solicitors/firm-based-authorisation/anti-money-laundering-authorisation/#7356>] of your firm under the MLRs.

If you are requesting new manager approval for a Licensed Body, check our guidance [<https://www.sra.org.uk/solicitors/guidance/interest-licensed-body-require-approval/>] to see if they also need to be approved as an owner.

- Individual Managers/Owners [#7916]
- Entity Managers/Owners [#2429]

Deemed managers who are solicitors, registered European lawyers (RELs) or registered foreign lawyers (RFLs)

These do not require an application or notification form. The authorised firm can add the manager directly via their mySRA account.

Deemed solicitor, REL or RFL owners cannot be added via mySRA and you should follow the process below.

Notifications for other individual managers/owners (deemed)

You need to tell us before a new deemed individual manager or owner joins the firm.

Information you need:

- Personal details, work history, professional regulation, confirmation they have no open investigations or closed adverse regulatory or disciplinary decisions against them.
- If they are an owner, how they will hold their interest and the percentage they will hold.
- Certificates of Good Standing (dated within three months of the application date) if regulated by another regulator.
- Individuals who are not SRA authorised need to create a mySRA account [<https://www.sra.org.uk/mysra/>] before they apply.

Applications for individual managers/owners (non-deemed)

You will need to tell us if an individual manager or owner (non-deemed) intends to join your firm.

You will need to make separate applications for each manager/owner who requires approval and provide:

- Personal details, work history, professional regulation, answers to suitability questions.
- If they are an owner, how they will hold their interest and the percentage they will hold. If they do not hold their interest directly in the authorised body itself (eg they hold it through a parent undertaking), please provide a chart of the proposed new structure.
- Certificates of Good Standing (dated within three months of the application date), if regulated by another regulator.
- Individuals who are not SRA authorised need to create a mySRA account before they apply

How to apply

You will need an mySRA account to be able to log in and complete the application.

Make changes to your anti-money laundering authorisation

Log in to mySRA to apply, go to start a new application

[<https://my.sra.org.uk/>]

Apply for approval of a person as an authorised role holder

Log in to mySRA to apply, go to start a new application

[<https://www.sra.org.uk/link/93f017776e78490eac32edeb8f5a63e0.aspx>]

How to pay

There is no fee for this application.

What you can expect from us

We will let you know if your application is incomplete or ineligible.

We aim to decide within 30 days. However, it can take up to 90 days if additional information and/or background checks are required.

The manager and/or owner must not take up the role until they have been approved.

If an authorised body wishes to add another organisation as a manager or owner, they will need to apply for approval for the organisation to be an approved role holder.

Notifications for entity managers/owners (deemed)

You need to tell us before a deemed new entity manager or owner joins the firm.

Information you need:

- Entity registration information with Companies House or overseas equivalent, professional regulation, confirmation they have no open investigations or closed adverse regulatory or disciplinary decisions against them.
- Certificates of Good Standing (dated within three months of the application date) if regulated by a regulator other than the SRA.
- If they are an owner, how they hold their interest and the percentage they hold.
- Current and proposed structure charts for the applicant firm and the entity/entities above it.

Be aware that, if a deemed entity will be a parent undertaking, its owners will also be owners of the authorised body beneath. Any non-deemed owners will still require their own separate approval in the normal way.

Applications for entity managers/owners (non-deemed)

You will need to tell us if an entity manager or owner (non-deemed) intends to join your firm.

You will need to make separate applications for each manager/owner who requires approval and provide:

- Entity registration information with Companies House or overseas equivalent, professional regulation, answers to suitability questions.
- If they are an owner, how they hold their interest and the percentage they hold.
- Certificates of Good Standing (dated within three months of the application date) if regulated by a regulator other than the SRA.
- Details of the governance and ownership structure of the candidate entity
- Current and proposed structure charts for the applicant firm and the entity/entities above it.

How to apply

You will need an mySRA account to be able to log in and complete the application.

Make changes to your anti-money laundering authorisation

Log in to mySRA to apply, go to start a new application

[<https://my.sra.org.uk/>]

Apply for approval of an entity as an authorised role holder

Log in to mySRA to apply, go to start a new application

[<https://my.sra.org.uk/>]

How to pay

There is no fee for this application.

What you can expect from us

We will let you know if your application is incomplete or ineligible.

We aim to decide within 30 days. However, it can take up to 90 days if additional information and/or background checks are required.

The manager and/or owner must not take up the role until they have been approved.