

# SRA Authorisation of Firms Rules

[<https://www.sra.org.uk/solicitors/standards-regulations/authorisation-firms-rules/?docId=1863905685>]

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## *Introduction*

These provisions set out the SRA's arrangements for the authorisation of firms. This includes recognised bodies, licensed bodies and recognised sole practices.

The rules set out our authorisation and application requirements, the effect of authorisation by the SRA on the legal activities such bodies may provide, and how and when we may restrict or limit a firm's authorisation or bring it to an end.

If you are unsure whether you are eligible for authorisation, or need to be authorised, please see our guidance [<https://www.sra.org.uk/sra/decision-making/guidance/authorisation-firms/>].

This introduction does not form part of the SRA Authorisation of Firms Rules.

## *Part 1: Eligibility*

### *Rule 1: Eligibility*

**1.1** You will be eligible to apply for authorisation:

- (a)** as a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>], if you are a licensable body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensable-body>] and have at least one manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] that is an authorised person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-person>] (other than a licensed body) );
- (b)** as a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>], if you are a legal services body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#legal-services-body>] in which all of the managers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] and interest holders [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] are legally qualified



[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#leg-qualified>] ; or

**(c)** as a recognised sole practice

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] , if you are a solicitor or an REL [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>] who is the sole principal in a practice

and you intend to deliver legal services, or (if you fall within (b)) the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] is satisfied that it is in the public interest for you to be eligible to apply for authorisation notwithstanding that you do not intend to deliver legal services.

**1.2** The eligibility requirements in rule 1.1 are subject to the transitional arrangements set out in annex 1.

**1.3** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must:

**(a)** if you are a company, be incorporated and registered in England and Wales, Scotland or Northern Ireland under Parts 1 and 2 of the Companies Act 2006; and

**(b)** have at least one practising address in the UK [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#UK>]; you are a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] , in England or Wales.

## *Part 2: Determination of authorisation applications, duration and validity*

### *Rule 2: Authorisation decision*

**2.1** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may grant an application for authorisation in relation to one or more reserved legal activity [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] .

**2.2** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will refuse an application for authorisation if it is not satisfied that, if authorisation is granted:

**(a)** the applicant's managers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] , interest holders [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] or management and governance arrangements a



suitable to operate or control a business providing regulated legal services;

- (b) the applicant will comply with the SRA's  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]  
requirements and regulatory arrangements  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] ,

or, if the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers that it would be otherwise against the public interest or incompatible with the regulatory objectives [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-objectives>] to grant the application.

### 2.3 In reaching a decision on the application, the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]  
may take into account any person  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>]  
that the applicant, manager  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
, employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] or interest holder  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] is related to, affiliated with, or acts together with that it has reason to believe may have an influence over the way in which the applicant, manager  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
, employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] or interest holder  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] will exercise their role.

## Rule 3: Conditions

- 3.1 The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may at any time, whether on grant of an application for authorisation or otherwise, impose such conditions on a body's authorisation (whether indefinite or for a specified period), where it considers it appropriate in the public interest to do so and in accordance with rules 3.2 and 3.3.
- 3.2 The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may impose conditions under rule 3.1 if it is satisfied that the authorised body  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] , or a manager  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
, compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] , employee  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>]



[regulations/glossary/#employee](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee)] , owner

[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner) ,

or interest holder [\[https://www.sra.org.uk/solicitors/standards-](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder)

[regulations/glossary/#interest-holder\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder) of the authorised body

[\[https://www.sra.org.uk/solicitors/standards-](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body)

[regulations/glossary/#authorised-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body) :

- (a) is unsuitable to undertake certain activities or engage in certain business or practising arrangements;
- (b) is putting or is likely to put at risk the interests of clients [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#clients\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#clients) , third parties or the public;
- (c) will not comply with the SRA's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) regulatory arrangements [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements) , or requires monitoring of compliance with the SRA's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) regulatory arrangements [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements) ; OR
- (d) 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) .

### 3.3 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 rule 3.1 may:

- (a) specify certain requirements that must be met or steps must be taken;
- (b) restrict the carrying on of particular activities or holding particular roles; or
- (c) prohibit the taking of specified steps without its approval

### *Rule 4: Duration of authorisation*

#### 4.1 A body's authorisation takes effect from the date the certificate of authorisation is issued to it by the SRA

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

#### 4.2 A body's authorisation shall cease to have effect:

- (a) subject to Part 5, if the body ceases to exist; or
- (b) if the body is a licensed body [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) and is issued with a licence by another approved



regulator [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-regulator>] .

**4.3** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may revoke or suspend a body's authorisation, if:

- (a) it is satisfied that the authorisation was granted as a result of a material error, misleading or inaccurate information, or fraud;
- (b) the body is or becomes ineligible to be authorised, or the grounds for refusal of an application under rule 2.2 are met;
- (c) the body has failed to provide any information the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has reasonably requested;
- (d) the body has failed to pay any prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] fee to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>];
- (e) the body makes an application to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] for its authorisation to be revoked, but the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may refuse the application if the applicant is subject to disciplinary 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>];
- (f) the body has failed to comply with any obligations under SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] ;
- (g) the body, or an owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] , manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] of the body fails to comply with any duty imposed on them by sections 90 or 176 of the Solicitors Act 1974 [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#LSA1974>];



- (h) a relevant insolvency event  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#relevant-insolvency-event>] has occurred in relation to the body, or the sole principal is made the subject of bankruptcy proceedings or makes a proposal for an individual voluntary arrangement;
- (i) the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has decided to exercise its power of intervention [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#intervention>] in relation to the body or a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] practice within the body; or
- (j) for any other reason, it considers it to be in the public interest to do so.

#### 4.4 In the case of a licensed body

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>], the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may revoke or suspend the body's authorisation:

- (a) as a result of a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who holds an interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-in-the-licensed-body>] in the licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] taking a step in circumstances where that constitutes an offence under paragraph 24(1) Schedule 13 to the LSA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#LSA>] (whether or not the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] is charged with or convicted of an offence under that paragraph);
- (b) where such a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] is in breach of conditions imposed under paragraphs 17, 28 or 33 of that Schedule; or
- (c) where a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] holding of an interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-in-the-licensed-body>] in the licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] is subject to an objection by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] under paragraph 31 or 36 of that Schedule.



- 4.5** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] must not revoke or suspend a body's authorisation other than under rule 4.3(e) unless it has first given the body no less than 28 days' notice of its intention to revoke or suspend the authorisation, inviting representations regarding the issues giving rise to the proposed revocation or suspension.

## *Part 3: Effect of authorisation and conditions of practice*

### *Rule 5: Effect of authorisation*

- 5.1** If you are a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] or a recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] authorised by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] you are entitled to carry on:
- (a)** all reserved legal activities [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] except notarial activities; and
  - (b)** immigration work [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#immigration-work>] .
- 5.2** If you are a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] you are entitled to carry on the activities set out in rule 5.1, in accordance with the terms of your licence.
- 5.3** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] may only carry on a reserved legal activity [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] through a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who is entitled to do so.

## *General conditions of practice*

### *Rule 6: Restrictions on services provided by a recognised body or recognised sole practice*

- 6.1** If you are a recognised body or recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] , your business may consist only of the provision of:



- (a) professional services of the sort provided by individuals practising as solicitors [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] and/or lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#law> other jurisdictions; and
- (b) the services set out in annex 2 (whether or not they are included in paragraph (a)),

and if you have a notary public as a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] , then professional services of the sort provided by notaries public.

#### ***Rule 7: Payment of periodical fees***

- 7.1** Every authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must pay to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] a periodical fee in the amount, and by the date prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] .

#### ***Rule 8: Compliance officers***

- 8.1** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must at all times have an individual who is designated as its COLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP>] and an individual who is designated as its COFA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA>] , and whose designations the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has approved.
- 8.2** Subject to rule 8.3, an individual who is designated under rule 8.1 must:
- (a) be a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ;
  - (b) consent to the designation;
  - (c) not be disqualified from acting as a HOLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#HOLP>] or HOFA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#HOFA>] under section 99 of the LSA





[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#LS/>]  
and

- (d) in the case of a COLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP>] , be an individual who is authorised to carry on reserved legal activities [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] by an approved regulator [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-regulator>] .

**8.3** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] is not required to comply with rule 8.2(a) where an individual who is designated under rule 8.1:

- (a) is currently approved by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]  
a compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] for an authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] with a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
or owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] in common with the body; and
- (b) is a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] of that related authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] .

### *Rule 9: Management, control, and supervision*

- 9.1** Subject to rules 9.2 and 9.3, an authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must ensure that the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has approved any manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
or owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] under Part 4.
- 9.2** A sole principal whose practice has been authorised as a recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] is not required to be approved separately as a manager



[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
of that practice.

**9.3** If the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] is satisfied that a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] of an authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] is not involved in any of the following:

- (a) the day to day or strategic management of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ;
- (b) compliance by the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] with the SRA's regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] ; OR
- (c) the carrying on of reserved legal activities [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] , or the provision of legal services in England and Wales,

the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may decide that the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] is not required to comply with rule 9.1 in respect of that manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>].

**9.4** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must have at least one manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] , or must procure the services of an individual, who:

- (a) is a lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] and has practised as such for a minimum of three years; and
- (b) supervises the work undertaken by the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] (or, if the body is a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] , the work undertaken by



body that is regulated by the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>  
accordance with the terms of the body's licence).

***Rule 10: Restrictions on employment and remuneration  
of certain individuals***

- 10.1** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must not employ or remunerate, or permit to be a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>], owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] or interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] of the body, a person:
- (a) who is subject to an order under section 43 of the SA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SA>] without the SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] written permission;
  - (b) whose name has been struck off the roll, or who is suspended from practising as a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#soli>] without the SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] written permission;
  - (c) in respect of whom there is a direction in force under section 47(2)(g) of the SA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SA>], without the SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] written permission; or
  - (d) who has been disqualified from the relevant role.

***Rule 11: Information return and notification events***

- 11.1** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must complete and deliver to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] an annual return by the date and in the form prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>].

***Rule 12: Modification of terms and conditions***

- 12.1** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may at any time, extend, revoke or vary any terms or conditions on a body's authorisation, imposed in accordance with rule 3 or otherwise, either on the application of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>].



[regulations/glossary/#authorised-body](#)] or on the SRA's

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

## Part 4: Approval of role holders

### Rule 13: Approval of role holders

#### 13.1 Subject to rules 13.2 to 13.4, the SRA

[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA)  
may approve a person's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person) designation as a COLP [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP) or COFA [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA) or to be a manager [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager) or owner [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner) of 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) if it is satisfied that the individual is fit and proper to undertake the role, in accordance with the SRA Assessment of Character and Suitability Rules.

#### 13.2 The SRA [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) will deem a person

[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person)  
to be fit and proper to be a manager [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager) or owner [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner) of 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) if the person [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person) is:

- (a) a solicitor [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor) who holds a current practising certificate, an REL [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL), RFL [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL) 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
- (b) a person [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person) who has previously been approved by the SRA [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) under rule 13.1 and is:



- (i) authorised and regulated by another approve  
[<https://www.sra.org.uk/solicitors/standards-regulations/gregulator>] ; Or
- (ii) authorised and regulated by a regulatory bod  
operates a regulatory regime recognised by tl  
[<https://www.sra.org.uk/solicitors/standards-regulations/greasonably-equivalent-to-that-of-an-approved>  
[<https://www.sra.org.uk/solicitors/standards-regulations/gregulator>] ,

and who is not subject to a regulatory or disciplinary investigation, or adverse finding or decision of the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] ,  
the Tribunal [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] or another regulatory body.

**13.3** A person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who meets the conditions under rule 13.2, shall be deemed to be approved to be designated as a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or owner

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] of any authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] .

**13.4** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must notify the SRA

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

promptly in the prescribed

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

form of the designation as a

manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or owner

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] of

that body of a person who has been deemed to be approved under rule 13.3.

**13.5** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will deem an individual to be fit and proper to be a compliance officer

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>]

of an authorised body

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] if:

- (a) that individual is a lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] and a manager  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ;



- (b) the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] has an annual turnover more than £600,000;
- (c) they are not a compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] of any other authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ; and
- (d) they are not subject to a regulatory or disciplinary investigation, or adverse finding or decision of the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] the Tribunal [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] or another regulatory body.

**13.6** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] must notify the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] promptly, in the prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] form, of the identity of a compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] whose fitness and propriety has been deemed under rule 13.5, and the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] shall approve their designation to undertake the role in that body accordingly.

**13.7** Approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation under rule 13.1 or 13.6:

- (a) takes effect from the date of the decision unless otherwise stated;
- (b) remains effective only if the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] takes up the designated role within the period specified in the notice of approval, or the period of one year if no period is specified;
- (c) expires when the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] ceases to carry out the designated role, save that in the case of an owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] approval expires when the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] ceases to be an interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>]



holder] or a partner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#partner>] , as appropriate;

- (d) expires when the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] ceases to be eligible under rule

**13.8** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may at any time, on granting approval for the designation of a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] under this Part, or otherwise, make the holding of a material interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#material-interest>] in a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] subject to conditions in accordance with paragraphs 17, 28 or 33 of Schedule 13 to the LSA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#LSA>] .

**13.9** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may at any time withdraw approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation under rule 13.1, 13.3 or 13.6 if it is not satisfied that the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] is fit and proper to undertake the designated role.

**13.10** A person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] whose designation has been approved under rule 13.1, 13.3 or 13.6, must notify the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-non-SRA-firm>] promptly of any information in relation to them which would be relevant to an assessment of their fitness and propriety under the SRA Assessment of Character and Suitability Rules, and may be required to provide a self-declaration of their fitness and propriety on request by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] .

**13.11** In respect of a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] whose designation has been approved under rule 13.3, the obligation to notify under rule 13.10 applies when the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] is holding an approved post and extends to information relating to matters taking place at any time, following their approval, irrespective of whether they were holding an approved post at the time.

**13.12** Where the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] withdraws approval for the designation of a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who is the director



[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#director>]  
of a company [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>] , the SRA  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]  
may set separate dates for the individual ceasing to be a  
director [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#director>] and disposing of their shares.

## *Part 5: Succession, loss of eligibility and temporary emergency authorisation*

### *Rule 14: Loss of eligibility*

- 14.1** If the last remaining legally qualified  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#legally-qualified>] manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] of an authorised body  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] whose role ensures the  
body's compliance with the eligibility requirements for its  
authorisation under rule 1:
- (a) is sentenced to imprisonment;
  - (b) becomes unable to carry on their role because of incap
  - (c) abandons the business;
  - (d) is made subject to a restriction, condition or other regul:  
decision by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] or another regulatory body which  
would prevent or restrict them acting as a manager  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#ma>  
, or
  - (e) is unable to fulfil the role for any other reason,

the body must inform the SRA  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]  
within seven days of becoming aware of the relevant event  
and, within 28 days of becoming aware of the event, must  
either become eligible for authorisation (without reference to  
the manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] in question), or cease to carry on  
reserved legal activities and to hold themselves out as an  
authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] .

- 14.2** Subject to any prescribed  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>]





regulations/glossary/#prescribed] application requirements, the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may:

- (a) transfer a body's authorisation to another body where the first body ceases to exist and the second body succeeds in the whole or substantially the whole of its business;
- (b) substitute a body's authorisation for another type of authorisation where it is satisfied that the body is materially carrying on the same practice, notwithstanding a change in its management or control; and
- (c) permit any person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] previously approved as a manager, owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>], or compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] of the body to continue to act in their designated role, notwithstanding the transfer or substitution.

*Rule 15: Temporary emergency authorisation or approval*

**15.1** An application for temporary emergency authorisation may be made:

- (a) within seven days of any change in the management or control of an authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] which brings into being a new unauthorised body or practice;
- (b) within 28 days of the death or incapacity of a sole practitioner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner>] by a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] or an REL [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#REL>] who is:
  - (i) the sole practitioner's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner>] executor, personal representative, attorney under a lasting power of attorney, Court of Protection deputy (as appropriate);
  - (ii) a practice manager appointed by the sole practitioner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sole-practitioner>] executor, personal representative, or



a lasting power of attorney, or Court of Protection (if appropriate); or

- (iii) an employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] of the practice.

**15.2** An application for temporary emergency approval of a compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] may be made within seven days of an authorised body

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ceasing to have a COLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP>] or COFA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA>] whose designation is approved under Part 4.

**15.3** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will only grant an application under rule 15.1(a) or 15.2 if it is satisfied that:

- (a) the body or its managers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] could not reasonably have commenced a substantive application for authorisation under Part 2 in advance of the events giving rise to the application;
- (b) in relation to an application under rule 15.1(a) the body meets the eligibility requirements under rule 1.1 and will comply with our regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] as they apply to authorised bodies [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ; OR
- (c) in relation to an application under rule 15.2, it has no reason to believe that the individual to which the application relates is not fit and proper to be a compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] of the authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] .

**15.4** Temporary emergency authorisation or approval:

- (a) shall be granted for an initial period of 28 days from the specified;
- (b) may be extended for such period as the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]



thinks fit;

- (c) shall be extended, if a substantive application for authorisation or approval is made during the period of temporary emergency authorisation or approval, pending determination of the substantive application;
- (d) may be revoked, withdrawn, or made subject to such conditions as the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers appropriate, in the public interest,

save that, if the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] grants temporary emergency authorisation under rule 15.1(b), the authorisation will be deemed to run from the date of death or incapacity and will cease to have effect on the earliest of the date of the winding up of the estate or 12 months from the date of death or incapacity.

#### *Rule 16: Apportionment of periodical fees on succession*

**16.1** An authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] which:

- (a) has taken over the whole or a part of one or more authorised bodies [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] ; OR
- (b) has split or ceded part of its practice to another authorised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body>] and wishes the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] take this into account in determining its periodical fee,

must within 28 days of the change taking place deliver to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] a notice in the prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] form.

## **Annexes**

### *Annex 1: Transitional arrangements under paragraph 7(3) of Schedule 5 to the LSA*

**1.1** A licensable body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensable-body>] will be eligible to be a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] if as at 6 October 2011, it



has been recognised by the SRA

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

under section 9 of the AJA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#AJA>] but

has an interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] or manager

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

that is not a lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] or a legally qualified body. It shall

continue to be treated as a recognised body

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] for the purposes of these rules and the SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] regulatory arrangements

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] until:

- (a) such time as it ceases to comply with the management control requirements set out in paragraph 2 below; or
- (b) the end of the transitional period under Part 2 of Schedule 1 to the LSA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#LSA>] , or such earlier time as the body elect,

at which time it must apply for authorisation as a licensed

body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .

## 2.2 The management and control requirements are:

- (a) at least 75% of the body's managers  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#managers>]  
must be:
    - (i) individuals who are, and are entitled to practise as, solicitors of England and Wales [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-England-and-Wales>] , or solicitors in Scotland, members of the Bar of Ireland, solicitors of the Court of Judicature of Ireland or RFLs [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] ; or
    - (ii) bodies corporate which are legally qualified bodies
- although a legally qualified body cannot be a director  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#director>]  
of a body which is a company  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>]  
;

- (b) individuals who are, and are entitled to practise as, lawyers of England and Wales [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-England-and-Wales>] , advocates or solicitors in Scotland, members of the Bar of Northern Ireland, solicitors of the Court of Judicature of Northern Ireland or RFLs [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] must make up at least 75% of the ultimate beneficial ownership of the body; and
- (c) individuals who are, and are entitled to practise as, lawyers of England and Wales [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-England-and-Wales>] , advocates or solicitors in Scotland, members of the Bar of Northern Ireland, solicitors of the Court of Judicature of Northern Ireland or RFLs [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] , and/or legally qualified bodies, must
  - (i) exercise or control the exercise of at least 75% of the voting rights [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#voting-rights>] in the body; and
  - (ii) if the body is a company [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>] with shares, hold (as members of the company [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>]) at least 75% of the shares.
- (d) every interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] of the recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] , and every person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who exercises or controls the exercise of any voting right [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#voting-rights>] in the body, must be:
  - (i) an individual who is, and is entitled to practise as, a lawyer of England and Wales [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-England-and-Wales>] , a solicitor in Scotland, a member of the Bar of Northern Ireland, a solicitor of the Court of Judicature of Northern Ireland or an RFL [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] ;
  - (ii) a legally qualified body; or
  - (iii) an individual who is approved by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved>]



and is a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] of the body;

- (e) an individual who is not entitled under paragraph 2(d)(i) to be an interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] of a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] without being a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] of the body if:
- (i) the recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] is a company [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>] which is wholly or partly owned by a partnership [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#partnership>] or LLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#llp>] which is a legally qualified body;
  - (ii) the individual is approved by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-by-sra>] and is a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] of the partnership [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#partnership>] or LLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#llp>]; and
  - (iii) the individual is precluded under the partnership agreement or members' agreement from exercising or authorising any other individual to act as a manager of the company [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#company>] .

For the purposes of this annex, "legally qualified body" means a body which is:

- .1 a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] ; OR
- .2 an authorised non-SRA firm [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-non-sra-firm>] of which individuals who are, and are entitled to practise as, lawyers of England and Wales [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer-of-england-and-wales>] , advocates or solicitors in Scotland, members of the Bar of Northern



Ireland or solicitors of the Court of Judicature of Northern Ireland or RFLs [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#RFL>] make up at least 75% of the ultimate beneficial ownership.

## *Annex 2: Professional services*

The professional services referred to in rule 6.1(b) are:

- 1.1 Alternative dispute resolution.
- 1.2 Financial services.
- 1.3 Estate agency.
- 1.4 Management consultancy.
- 1.5 Company secretarial services.
- 1.6 Other professional and specialist business support services including human resources, recruitment, systems support, outsourcing, transcription and translating.
- 1.7 Acting as a parliamentary agent.
- 1.8 Practising as a lawyer of another jurisdiction.
- 1.9 Acting as a bailiff.
- 1.10 Accountancy services.
- 1.11 Education and training activities.
- 1.12 Authorship, journalism and publishing.

## *Supplemental notes*

Made by the SRA Board on 30 May 2018.

Made under sections 31 of the Solicitors Act 1974, sections 9 and 9A of the Administration of Justice Act 1985, and section 83 of, and Schedule 11 to, the Legal Services Act 2007.

### *SRA Authorisation of Firms Rules*

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Guidance (13) []

### *Tags*

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## Guidance

### Guidance

Approval of employment under s41 and s43 of the Solicitors Act 1974 - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/approval-employment-under-s41-s43-solicitors-act-1974/>]

Guidance: To explain how you can apply to us for our written permission to employ someone who has a control order or been suspended from practice.

Legal Disciplinary Practices - Guidance [<https://www.sra.org.uk/solicitors/guidance/legal-disciplinary-practices/>]

Guidance: To explain how existing LDPs with non-lawyer managers can remain as recognised bodies or elect to become licensed bodies.

How we make our decision to authorise a firm - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/authorisation-firms/>]

Decision making: For those applying to us to authorise their business as an SRA regulated recognised sole practice, recognised body or licensed body.

Approval of role holders - Guidance [<https://www.sra.org.uk/solicitors/guidance/authorisation-approval-role-holders/>]

Decision making: How we approve persons to be managers, owners or compliance officers of firms we regulate.

Sole practitioners and small firms regulatory starter pack - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/sole-practitioners-small-firms-regulatory-starter-pack/>]

Guidance: This starter pack provides help and support to people who are looking to establish their business.

Can my business be authorised? - Guidance [<https://www.sra.org.uk/solicitors/guidance/can-my-business-be-authorised/>]

Guidance: If your business needs to be authorised to provide legal services, or you have chosen to be authorised, this checklist provides a summary of the eligibility requirements.

Does my business need to be authorised? - Guidance [<https://www.sra.org.uk/solicitors/guidance/business-need-authorised/>]

Guidance: This checklist will help you determine if your business requires authorisation.

Does your interest in a licensed body require approval? - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/interest-licensed-body-require-approval/>]

Guidance: An overview of our approach in determining whether a particular role or interest a person has in licensed body requires approval.

Firm authorisation - Guidance [<https://www.sra.org.uk/solicitors/guidance/firm-authorisation/>]

Guidance: If you wish to set up a business providing legal services, understand whether the business needs to be authorised by us and how this is done.

Multi-disciplinary practices: Regulation of non-reserved legal activity - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/non-reserved-legal-activity/>]

Guidance: To help you understand how we will regulate reserved and non-reserved legal activity in an MDP.



Responsibilities of COLPs and COFAs - Guidance [<https://www.sra.org.uk/solicitors/guidance/responsibilities-of-colps-and-cofas/>]

Guidance: To assist COLPs and COFAs in understanding their duties and responsibilities.

Does my employer need to be authorised by an approved regulator? - Guidance [<https://www.sra.org.uk/solicitors/guidance/employer-need-authorised-approved-regulator/>]

Guidance: A flow chart to assist solicitors, registered European lawyers and registered foreign lawyers in deciding whether their employer needs to be authorised under the Legal Services Act.

Bringing criminal proceedings - Guidance [<https://www.sra.org.uk/solicitors/guidance/disciplinary-bringing-criminal-proceedings/>]

Decision making: Understand how and when we may bring criminal proceedings against those we regulate.

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