

# SRA Code of Conduct for Solicitors, RELs and RFLs

[<https://www.sra.org.uk/solicitors/standards-regulations/code-conduct-solicitors/?docId=705327156>]

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## *Introduction*

The Code of Conduct describes the standards of professionalism that we, the SRA, and the public expect of individuals (solicitors, registered European lawyers and registered foreign lawyers) authorised by us to provide legal services.

They apply to conduct and behaviour relating to your practice, and comprise a framework for ethical and competent practice which applies irrespective of your role or the environment or organisation in which you work (subject to the Overseas Rules which apply to your practice overseas); although paragraphs 8.1 to 8.11 apply only when you are providing your services to the public or a section of the public.

Conduct does not need to take place in a workplace in order to relate to your practice – these requirements capture conduct which touches realistically upon your practice of the profession, in a way that is demonstrably relevant.

You must exercise your judgement in applying these standards to the situations you are in and deciding on a course of action, bearing in mind your role and responsibilities, areas of practice, and the nature of your clients (which in an in house context will generally include your employer and may include other persons or groups within or outside your employer organisation).

You are personally accountable for compliance with this Code - and our other regulatory requirements that apply to you - and must always be prepared to justify your decisions and actions.

A serious failure to meet our standards or a serious breach of our regulatory requirements may result in our taking regulatory action against you. A failure or breach may be serious either in isolation or because it comprises a persistent or concerning pattern of behaviour. In addition to the regulatory requirements set by us in our Codes, Principles and our rules and regulations, we directly monitor and enforce the requirements relating to referral fees set out in section 56 of the Legal Aid, Sentencing and Punishment of Offenders Act 2012, and provisions relating to anti money laundering and counter terrorist financing, as set out in regulations made by the Treasury [<http://www.legislation.gov.uk/ukxi/2017/692/made>] as in force from time to time.



All these requirements are underpinned by our Enforcement Strategy. That strategy explains in more detail our views about the issues we consider to be serious, and our approach to taking regulatory action in the public interest.

This introduction does not form part of the SRA Code of Conduct for Solicitors, RELs and RFLs.

## *Code of Conduct for Solicitors, RELs and RFLs*

### *1: Maintaining trust and acting fairly*

- 1.1** You do not unfairly discriminate by allowing your personal views to affect your professional relationships and the way in which you provide your services.
- 1.2** You do not abuse your position by taking unfair advantage of clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] or others.
- 1.3** You perform all undertakings [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#undertaking>] given by you, and do so within an agreed timescale or if no timescale has been agreed then within a reasonable amount of time.
- 1.4** You do not mislead or attempt to mislead your clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] , the court [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] or others, either by your own acts or omissions or allowing or being complicit in the acts or omissions of others (including your client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] ).
- 1.5** You treat colleagues fairly and with respect. You do not bully or harass them or discriminate unfairly against them. If you are a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] you challenge behaviour that does not meet this standard.

### *2: Dispute resolution and proceedings before courts, tribunals and inquiries*

- 2.1** You do not misuse or tamper with evidence or attempt to do so.
- 2.2** You do not seek to influence the substance of evidence, including generating false evidence or persuading witnesses to change their evidence.
- 2.3** You do not provide or offer to provide any benefit to witnesses dependent upon the nature of their evidence or the outcome of the case.



- 2.4** You only make assertions or put forward statements, representations or submissions to the court  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] or others which are properly arguable.
- 2.5** You do not place yourself in contempt of court  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] , and you comply with court  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] orders which place obligations on you.
- 2.6** You do not waste the court's  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] time.
- 2.7** You draw the court's [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court> ] attention to relevant cases and statutory provisions, or procedural irregularities of which you are aware, and which are likely to have a material effect on the outcome of the proceedings.

### 3: Service and competence

- 3.1** You only act for clients [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] on instructions from the client  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] , or from someone properly authorised to provide instructions on their behalf. If you have reason to suspect that the instructions do not represent your client's  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] wishes, you do not act unless you have satisfied yourself that they do. However, in circumstances where you have legal authority to act notwithstanding that it is not possible to obtain or ascertain the instructions of your client  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] , then you are subject to the overriding obligation to protect your client's [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] best interests.
- 3.2** You ensure that the service you provide to clients  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] is competent and delivered in a timely manner.
- 3.3** You maintain your competence to carry out your role and keep your professional knowledge and skills up to date.
- 3.4** You consider and take account of your client's  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] attributes, needs and circumstances.
- 3.5** Where you supervise or manage others providing legal services:
- (a)** you remain accountable for the work carried out through them; and



- (b) you effectively supervise work being done for clients  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>]

**3.6** You ensure that the individuals you manage are competent to carry out their role, and keep their professional knowledge and skills, as well as understanding of their legal, ethical and regulatory obligations, up to date.

#### 4: Client money and assets

- 4.1** You properly account to clients  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] for any financial benefit [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#financial-benefit>] you receive as a result of their instructions, except where they have agreed otherwise.
- 4.2** You safeguard money and assets  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#asset>] entrusted to you by clients  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] and others.
- 4.3** You do not personally hold client money  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client-money>] save as permitted under regulation 10.2(b)(vii) of the Authorisation of Individuals Regulations, unless you work in an authorised body [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body> ] , or in an organisation of a kind prescribed [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed> ] under this rule on any terms that may be prescribed [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed> ] accordingly.

## Business requirements

### 5.1-5.3: Referrals, introductions and separate businesses

- 5.1** In respect of any referral of a client  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] by you to another person [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person> ] , or of any third party who introduces business to you or with whom you share your fees  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#fees> ] , you ensure that:
  - (a) clients [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] are informed of any financial or commercial interest which you or your business or employer has in referring the client [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client> ] to another person  
[ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person> ]



or which an introducer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#introducer>] has in referring the client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] to you;

- (b) clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] are informed of any fee sharing arrangement that is relevant to their matter;
- (c) the fee sharing agreement is in writing;
- (d) you do not receive payments relating to a referral or make payments to an introducer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#introducer>] in respect of clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] who are the subject of criminal proceedings; and
- (e) any client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] referred by an introducer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#introducer>] has not been acquired in a way which would breach the SRA's regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] if the person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] acquiring the client were regulated by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>].

## 5.2 Where it appears to the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] that you have made or received a referral fee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#referral-fee>], the payment will be treated as a referral fee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#referral-fee>] unless you show that the payment was not made as such.

## 5.3 You only:

- (a) refer, recommend or introduce a client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] as a separate business [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#separate-business>]; OR
- (b) divide, or allow to be divided, a client's matter between you and a separate business [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#separate-business>];



where the client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] has given informed consent to your doing so.

#### 5.4-5.6: Other business requirements

**5.4** You must not be a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>], employee [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>], member [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#member>] or interest holder [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest-holder>] of a business that:

- (a) has a name which includes the word "solicitors"; or
- (b) describes its work in a way that suggests it is a solicitor firm; [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor-firm>];

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

**5.5** If you are a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] who holds a practising certificate, 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 must complete and deliver to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] an annual return in the prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] form.

**5.6** If you are 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>] carrying on reserved legal activities [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities>] for the public or a section of the public in a non-commercial body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#non-commercial-body>], you must ensure that:

- (a) the body takes out and maintains indemnity insurance;
- (b) this insurance 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 the body or its clients



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

## *Conflict, confidentiality and disclosure*

### *6.1-6.2: Conflict of interests*

- 6.1** You do not act if there is an own interest conflict [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#own-interest-conflict>] or a significant risk of such a conflict.
- 6.2** You do not act in relation to a matter or particular aspect of it if you have a conflict of interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#conflict-of-interest>] or a significant risk of such a conflict in relation to that matter or aspect of it, unless:
- (a) the clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] have a substantially common interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#substantially-common-interest>] in relation to matter or the aspect of it, as appropriate; or
  - (b) the clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] are competing for the same objective [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#competing-for-the-same-objective>] ,

and the conditions below are met, namely that:

- (i) all the clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] have given informed consent or evidenced in writing, to you acting;
- (ii) where appropriate, you put in place effective measures to protect your clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] ' confidential information;
- (iii) you are satisfied it is reasonable for you to act in relation to the clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] .

### *6.3-6.5: Confidentiality and disclosure*

- 6.3** You keep the affairs of current and former clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] confidential unless disclosure is required or permitted by law or the client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] consents.
- 6.4** Where you are acting for a client [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] on a matter, you make the client



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

aware of all information material to the matter of which you have knowledge, except when:

- (a) the disclosure of the information is prohibited by legal restrictions imposed in the interests of national security the prevention of crime;
- (b) your client [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) gives informed consent, given or evidenced in writing, to the information not being disclosed to them;
- (c) you have reason to believe that serious physical or mental injury will be caused to your client [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) or another if the information is disclosed; or
- (d) the information is contained in a privileged document to which you have knowledge of only because it has been mistakenly disclosed.

#### 6.5 You do not act for a client

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

a matter where that client

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

has an interest adverse to the interest of another current or former client [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) of you or your business or employer,

for whom you or your business or employer holds confidential information which is material to that matter,

unless:

- (a) effective measures have been taken which result in the being no real risk of disclosure of the confidential information; or
- (b) the current or former client [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) whose information you or your business or employer has given informed consent, given or evidenced in writing, to you acting, including to any measures taken to protect that information.

### 7: Cooperation and accountability

**7.1** You keep up to date with and follow the law and regulation governing the way you work.

**7.2** You are able to justify your decisions and actions in order to demonstrate compliance with your obligations under the





SRA's regulatory arrangements

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

**7.3** You cooperate with the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] , other regulators, ombudsmen, and those bodies with a role overseeing and supervising the delivery of, or investigating concerns in relation to, legal services.

**7.4** You respond promptly to the SRA

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

- (a) provide full and accurate explanations, information and documents in response to any request or requirement; ;
- (b) ensure that relevant information which is held by you, or third parties carrying out functions on your behalf which critical to the delivery of your legal services, is available inspection by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] .

**7.5** You do not attempt to prevent anyone from providing

information to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] or any other body exercising regulatory, supervisory, investigatory or prosecutory functions in the public interest.

**7.6** You notify the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] promptly if:

- (a) you are subject to any criminal charge, conviction or ca subject to the Rehabilitation of Offenders Act 1974;
- (b) a relevant insolvency event [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#relevant-insolvency-event>] occurs in relation to you; or
- (c) if you become aware:
  - (i) of any material changes to information previously provided to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] , by you or on your behalf or your practice, including any change to information recorded in the register [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register>] ; and
  - (ii) that information provided to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] by you or on your behalf, about you or your practice may be false, misleading, incomplete or inaccurate



**7.7** You report promptly to the SRA

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

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-regulator>] , as appropriate, any facts or matters that you reasonably believe are capable of amounting to a serious breach of their regulatory arrangements

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

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] regulated by them (including you).

**7.8** Notwithstanding paragraph 7.7, you inform the SRA

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

promptly of any facts or matters that you reasonably believe should be brought to its attention in order that it may investigate whether a serious breach of its regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] has occurred or otherwise exercise its regulatory powers.

**7.9** You do not subject any person

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

to detrimental treatment for making or proposing to make a report or providing or proposing to provide information based on a reasonably held belief under paragraph 7.7 or 7.8 above, or paragraph 3.9, 3.10, 9.1(d) or (e) or 9.2(b) or (c) of the SRA Code of Conduct for Firms, irrespective of whether the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] or another approved regulator subsequently investigates or takes any action in relation to the facts or matters in question.

**7.10** You act promptly to take any remedial action requested by

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

. If requested to do so by the SRA

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

you investigate whether there have been any serious breaches that should be reported to the SRA

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

**7.11** You are honest and open with clients

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] if things go wrong, and if a client

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

suffers loss or harm as a result you put matters right (if possible) and explain fully and promptly what has happened and the likely impact. If requested to do so by the SRA

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

you investigate whether anyone may have a claim against you, provide the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]



regulations/glossary/#SRA] with a report on the outcome of your investigation, and notify relevant persons that they may have such a claim, accordingly.

**7.12** Any obligation under this section or otherwise to notify, or provide information to, the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will be satisfied if you provide information to your firm's COLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP>] or COFA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA>] , as and where appropriate, on the understanding that they will do so.

## *When you are providing services to the public or a section of the public*

### *8.1: Client identification*

**8.1** You identify who you are acting for in relation to any matter.

### *8.2-8.5: Complaints handling*

**8.2** You ensure that, as appropriate in the circumstances, you either establish and maintain, or participate in, a procedure for handling complaints in relation to the legal services you provide.

**8.3** You ensure that clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] are informed in writing at the time of engagement about:

- (a) their right to complain to you about your services and your charges;
- (b) how a complaint can be made and to whom; and
- (c) any right they have to make a complaint to the Legal Ombudsman [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Ombudsman>] and when they can make any such complaint.

**8.4** You ensure that when clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] have made a complaint to you, if this has not been resolved to the client's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] satisfaction within 8 weeks following the making of a complaint they are informed, in writing:

- (a) of any right they have to complain to the Legal Ombudsman [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Legal-Ombudsman>] , the time frame for doing so and full details how to contact the Legal Ombudsman



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

- (b) if a complaint has been brought and your complaints procedure has been exhausted:
  - (i) that you cannot settle the complaint;
  - (ii) of the name and website address of an alternative resolution (ADR) approved body which would deal with the complaint; and
  - (iii) whether you agree to use the scheme operator body.

**8.5** You ensure that complaints are dealt with promptly, fairly, and free of charge.

#### **8.6-8.11: Client information and publicity**

- 8.6** You give clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] information in a way they can understand. You ensure they are in a position to make informed decisions about the services they need, how their matter will be handled and the options available to them.
- 8.7** You ensure that clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] receive the best possible information about how their matter will be priced and, both at the time of engagement and when appropriate as their matter progresses, about the likely overall cost of the matter and any costs [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#costs>] incurred.
- 8.8** You ensure that any publicity [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#publicity>] in relation to your practice is accurate and not misleading, including that relating to your charges and the circumstances in which interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#interest>] is payable by or to clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] .
- 8.9** You do not make unsolicited approaches to members of the public, with the exception of current or former clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] , in order to advertise legal services provided by you, or your business or employer.
- 8.10** You ensure that clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] understand whether and how the services you provide are regulated. This includes:



- (a) explaining which activities will be carried out by you, as authorised person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-person>] ;
- (b) explaining which services provided by you, your business employer, and any separate business [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sep-business>] are regulated by an approved regulator [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#apr-regulator>] ; and
- (c) ensuring that you do not represent any business or employer which is not authorised by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SR> including any separate business [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#sep-business>] , as being regulated by the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SR>.

**8.11** You ensure that clients [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client>] understand the regulatory protections available to them.

## 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 Code of Conduct for Solicitors, RELs and RFLs*

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Guidance (33) []

### Tags

Specific areas of practice [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941497>]  
 Authorisation [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941438>] COLPs & COFAs [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941440>]  
 Practising certificates [<https://www.sra.org.uk/solicitors/standards-regulations/index/#x12884941443>]  
 Complaints about solicitors [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941457>]  
 Other E&D topics [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941477>]  
 Accounts & finance [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941478>]  
 Client care [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941480>]  
 Conflicts of interest [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941481>]  
 Fees [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941484>]  
 Other regulation topics [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941492>]  
 Professional indemnity insurance [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941487>]  
 Supervision & compliance [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941490>]  
 Undertakings [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941491>]  
 Print this section [[javascript:PrintFromSidebar\(\)](#)] Copy highlighted section to clipboard [#]  
 Back to []

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## Guidance

### Guidance

Professional duties during action taken by the Criminal Bar Association - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/duties-during-action-criminal-bar-association/>]

Guidance - what the SRA's Standards and Regulations require when acting for clients who may be affected by industrial action taken by the Criminal Bar Association (CBA).

Access to and disclosure of an incapacitated person's will - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/incapacitated-persons/>]

Guidance: To clarify circumstances where a solicitor can disclose a copy of a client's will to a property and financial affairs attorney.

Offering inducements to potential clients or clients - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/offering-inducements-potential-clients-clients/>]

Guidance: Understand your professional obligations and the issues you need to consider before offering inducements to existing or prospective clients.

Transparency in price and service - Guidance [https://www.sra.org.uk/solicitors/guidance/transparency-in-price-and-service/]

Guidance: To help you understand your obligations under our Transparency Rules.

Drafting and preparation of wills - Guidance [https://www.sra.org.uk/solicitors/guidance/drafting-preparation-wills/]

Guidance: To highlight areas of concern and the professional obligations of those responsible for the preparation and drafting of wills.

Workplace environment: risks of failing to protect and support colleagues - Guidance  
[https://www.sra.org.uk/solicitors/guidance/workplace-environment/]

Guidance: our approach where we consider that individuals and firms have failed to take appropriate steps to look after colleagues' wellbeing.

Dealing with claims for mis sold payment protection insurance - Guidance  
[https://www.sra.org.uk/solicitors/guidance/mis-sold-payment-protection-insurance/]

Guidance: To remind you of your professional duties when accepting and dealing with claims relating to mis-sold payment protection insurance.

Money laundering - Case studies [https://www.sra.org.uk/solicitors/guidance/money-laundering/]

Case studies: These case studies illustrate the importance of having a consistent approach to compliance with the money laundering regulations throughout your entire firm.

Payment Protection Insurance claims - Warning notice [https://www.sra.org.uk/solicitors/guidance/payment-protection-insurance-ppi-claims/]

Warning notice: This warning notice sets out our concerns about is those we regulate acting in claims for mis-sold payment protection insurance (PPI).

Risk factors in personal injury claims - Warning notice [https://www.sra.org.uk/solicitors/guidance/risk-factors-personal-injury-claims/]

Warning notice: This warning notice reminds you of your obligations if you take personal injury referrals from third parties, work closely with them or act on their instructions.

Money laundering and terrorist financing - Warning notice [<https://www.sra.org.uk/solicitors/guidance/money-laundering-terrorist-financing/>]

Warning notice: This Warning Notice reminds you of the warning signs of suspicious transactions.

Tax avoidance your duties - Warning notice [<https://www.sra.org.uk/solicitors/guidance/tax-avoidance-duties/>]

Warning notice: This reminds those advising clients about their tax affairs about the importance of understanding their regulatory obligations.

Putting matters right when things go wrong, and own interest conflicts - Guidance [<https://www.sra.org.uk/solicitors/guidance/putting-matters-right-own-interest-conflicts/>]

Guidance: To outline certain key considerations for putting matters right when you identify that things have gone wrong through the fault of you or your firm.

Money laundering and terrorist financing suspicious activity reports - Warning notice [<https://www.sra.org.uk/solicitors/guidance/money-laundering-terrorist-financing-suspicious-activity-reports/>]

Warning notice: This Warning Notice reminds you of some of the key requirements to have in place adequate controls to prevent, detect and report money laundering and to make suspicious activity reports (SARs).

Reporting and notification obligations - Guidance [<https://www.sra.org.uk/solicitors/guidance/reporting-notification-obligations/>]

Guidance: To help you understand your reporting and notification obligations to us.

Referral fees LASPO and SRA Principles - Warning notice [<https://www.sra.org.uk/solicitors/guidance/referral-fees-laspo-sra-principles/>]

Warning notice: This warning notice reminds you of your obligations if you have referral arrangements for personal injury work.

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.

How we gather evidence in our regulatory and disciplinary investigations - Guidance [<https://www.sra.org.uk/solicitors/guidance/investigations-gathering-evidence/>]

Decision making: Understand how we gather evidence, the investigatory powers we have to gather evidence and how we can use those powers.

On-site investigations (inspections) - Guidance [<https://www.sra.org.uk/solicitors/guidance/investigations-on-site/>]

Decision making: To help you understand how we make the decision to conduct an on-site inspection and what is expected from you.

Confidentiality of client information - Guidance [<https://www.sra.org.uk/solicitors/guidance/confidentiality-client-information/>]

Guidance: To help you understand your obligation to keep clients' information confidential.

Competence standard service [<https://www.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/enforcement-practice/competence-standard-service/>]

This guidance focuses on our approach to investigating individuals and firms when the level of competence and standard of service falls below what we would expect.

Identifying your client - Guidance [<https://www.sra.org.uk/solicitors/guidance/identifying-client/>]

Guidance: To help you understand your obligations in respect of identifying your client.

Q&As on the ban of personal injury referral fees - Guidance [<https://www.sra.org.uk/solicitors/guidance/ban-personal-injury-referral-fees/>]

Guidance: Sets out common Q and As on the ban on referral fees in personal injury actions introduced by the Legal Aid, Sentencing and Punishment of Offenders Act 2012.

Client care letters - Guidance [<https://www.sra.org.uk/solicitors/guidance/client-care-letters/>]

Guidance: How to write and what to include in a good client care letter.

Conflicts of interest - Guidance [<https://www.sra.org.uk/solicitors/guidance/conflicts-interest/>]

Guidance: To help you to understand your obligations in relation to conflicts.

The SRA's approach to equality, diversity and inclusion - Guidance [<https://www.sra.org.uk/solicitors/guidance/sra-approach-equality-diversity-inclusion/>]

Guidance: To help you understand your obligations on equality, diversity and inclusion.

Public trust and confidence - Guidance [<https://www.sra.org.uk/solicitors/guidance/public-trust-confidence/>]

Guidance: To explain when you are likely to be found to have breached your obligation under Principle 2 to act in a way that upholds public trust and confidence.

Publishing complaints procedure - Guidance [<https://www.sra.org.uk/solicitors/guidance/publishing-complaints-procedure/>]

Guidance: the requirements under the Transparency Rules to publish information concerning your complaints procedure.

Advising on leasehold provisions including ground rent clauses - Guidance [<https://www.sra.org.uk/solicitors/guidance/leasehold-provisions-including-ground-rent-clauses/>]

Guidance: To help you understand what our Standards and Regulations require when acting for clients who are buying leasehold properties and to avoid possible breaches of our requirements.

Undertakings given by, or on behalf of, incorporated practices - Guidance [<https://www.sra.org.uk/solicitors/guidance/undertakings-behalf-incorporated-practices/>]

To explain your obligations when undertakings are provided by, or on behalf of, incorporated practices.



The Money Laundering, Terrorist Financing and Transfer of Funds - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/money-laundering-terrorist-financing-transfer-funds-information-payer-regulations-2017/>]

Guidance: To help all those we regulate understand their obligations under the Money Laundering Regulations.

Claims management activity - Guidance [<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.

High-volume financial service claims - Warning notice [<https://www.sra.org.uk/solicitors/guidance/high-volume-financial-service-claims/>]

Warning notice - Solicitors must act with integrity and uphold the high professional standards that we and the public expect.

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