

FA1c - Legal disciplinary practice (LDP) firm application form



Read the guidance on our website [here](#) before you fill in this form

Use this form if you are an existing authorised body LDP and want to elect to be licensed

The 'Applicant' for this form is the entity seeking authorisation

You must save a copy of the form to your device before you start to fill it in

This form is an editable PDF and must be completed on screen. If you need the form in another format, email authorisation@sra.org.uk

Section 1 - Applicant details

1.1 Applicant name SRA number

1.2 The Applicant is a:

company registered at Companies House partnership sole practitioner
 limited liability partnership other

Specify if 'other'

1.3 Is the Applicant authorised by another approved legal services regulator? Yes No

If **Yes**, name of regulator(s)

Registration number(s)

1.4 Is the Applicant authorised by any other regulator? Yes No

If **Yes**, name of regulator(s)

Registration number(s)

What did/does this authorisation allow?

1.5 Has the Applicant previously been refused authorisation, or had its authorisation revoked by another regulator? Yes No

If **Yes**, name of regulator(s)

Date of decision

Reasons for refusal or revocation

1.6 Does the Applicant have a maximum of 25% non-lawyer management and/or ownership? Yes No

If **No**, you do not meet the criteria to elect and must make a full application for authorisation as a licensed body (Form FA1).

Contact for application

1.7 Provide an individual contact for this application. We will send all communication about this application to the contact.

Title	<input type="text"/>	Forename(s)	<input type="text"/>
Surname	<input type="text"/>		
Relationship to Applicant	<input type="text"/>		
Email address	<input type="text"/>		
Phone number	<input type="text"/>		

Section 2 - Registration and address details

2.1 If the Applicant is a corporate body, provide the following:

Country of incorporation	<input type="text"/>
Registration number	<input type="text"/>
Date of incorporation	<input type="text"/>

2.2 Head office

Address	<input type="text"/>	DX no	<input type="text"/>
	<input type="text"/>	DX town	<input type="text"/>
Postcode	<input type="text"/>	Phone	<input type="text"/>
Email	<input type="text"/>		

What practising style or trading name will be used by this office?

2.3 If the Applicant is a corporate body, is the registered office the same as the head office? Yes No

If **No**, provide the registered office address

Address

Postcode

2.4 Are all other offices remaining the same? Yes No

Section 3 - Turnover and client money

Turnover

3.1 What is the Applicant's turnover for the last complete accounting period? £

What is this figure based on?

Closed accounts

An estimate as accounts for the period have not closed

3.2 Has this turnover figure changed since the Applicant's last declaration to the SRA? Yes No

If **Yes**, provide details

Client money

3.2 Does the Applicant, or any individual within the organisation, hold or receive client money? Yes No

If **Yes**, are all client accounts held at a bank or building society in England and Wales? Yes No

If **No**, provide details.

3.3 If the Applicant does not hold client money, does it intend to when licensed? Yes No

Section 4 - Organisation information

Business structure

4.1 Provide a corporate structure chart showing all owners and managers of each entity on the structure chart

Attached

4.2 Provide each of the following documents that are applicable to the Applicant:

Memorandum and articles of association

Shareholders agreements

Partnership agreements

Members agreements

LLP agreements

Other documents about the voting rights and/or controls on the Applicant and/or any parent or subsidiary such as ordinary or special resolutions

4.3 Are there any changes to the structure or management of the Applicant? Yes No

We will need to approve any new non-deemed managers or owners. You must submit separate FA2/FA3 forms.

In order to be eligible to elect to be licensed, non-lawyer management/ownership must not exceed 25%.

Section 5 - Post and role holders

Corporate managers and owners

5.1 Provide the following details for each corporate owner and/or manager:

Name	SRA number (if applicable)	Manager or owner?	Does it meet the deeming criteria under Rule 13.2?	Does it have/had any business connection to a CMC or claims management activities?

You must complete a corporate manager/owner application Form (FA3) for all entities that do not meet the criteria to be deemed to be approved and is not already approved..

Individuals

5.2 Provide details of all individuals who are to be authorised post and role holders within the Applicant. This includes any individual who holds a material interest in a parent of the Applicant.

To check if a person meets the deeming criteria, refer to the following rules:

- for compliance officers - Rule 13.5 of the SRA Authorisation of Firms Rules,
- for managers and owners - Rule 13.2 of the SRA Authorisation of Firms Rules.

You must complete a separate Individual approval application form (FA2) for all individuals who do not meet the deeming criteria and are not already approved.

Name	SRA number	Compliance Officer?	Do they meet the deeming criteria as a COLP/COFA under Rule 13.5?	Manager or Owner?	Do they meet the deeming criteria for post(s) under Rule 13.2?	Other Roles: Authorised signatory Responsible for supervision	Do/have they had any connection to a claims management company or claims management activities?

Person responsible for supervision

Provide the name of the manager, employee or individual responsible for supervision in compliance with Rule 9.4 of the SRA Authorisation of Firms Rules. The Applicant must have at least one individual who is responsible for supervision.

SRA number

Name

Section 6 - Professional indemnity insurance (PII)

6.1 Is the Applicant exempt under the SRA Indemnity Insurance Rules?

Exempt Partially exempt Not exempt

If exempt or partially exempt, confirm the date of exemption:

6.2 When the Applicant is licensed, will an existing PII policy continue, or will a new policy start?

New Existing

6.3 Name of participating insurer

6.4 Policy number

6.5 Amount of cover

6.6 Policy start date

End date

6.6 Provide a copy of the 'held cover' letter, policy or insurance certificate

Attached?

6.7 If the policy does not yet cover the Applicant, provide evidence that the insurer will transfer the policy

Attached?

Section 7 - Legal Services Act 2007 requirements

7.1 Does the Applicant consider itself for the purposes of section 72 of the Legal Services Act 2007 (the LSA), to be a body:

With share capital (s72(6)(a)LSA)?

Yes No

With capital but no share capital (s72(6)(b) LSA)?

Yes No

Without capital (s72(6)(c) LSA)?

Yes No

7.2 What steps has the Applicant taken to satisfy itself of the material interests which exist for the purpose of Schedule 13 of the LSA?

7.3 What steps has the Applicant taken to satisfy itself that it has identified all associate relationships which exist between non-authorized persons for the purposes of Schedule 13(5) of the LSA?

7.4 Who is, or will be, entitled to exercise or control the exercise of voting power in the Applicant and relevant parent undertakings (para 3 and 5(4) of Schedule 13 of the LSA)?

7.5 Which non-authorized persons have significant influence over the management of the Applicant and all relevant parent undertakings? Describe the nature of that influence.

7.6 Does the Applicant have a parent undertaking?

If **Yes**, confirm whether:

7.6.1 Any non-authorized person has any right of veto, or is otherwise able to have dominant influence (passively or actively) in respect of the exercise of voting power, or in respect of management in the Applicant and all relevant undertakings? Yes No

7.6.2 The Applicant or any relevant parent undertaking is managed on a unified basis with another body or bodies? Yes No

7.6.3 Any non-authorized person has the right to impose directions on the operating and financial policies of the Applicant, or relevant parent undertaking, including under the Articles of Association or a control contract? Yes No

7.6.4 Any non-authorized person has an unqualified right to appoint or remove a majority of the directors of the Applicant or a parent undertaking? Yes No

7.6.5 Will the Applicant be a subsidiary undertaking for the purposes of Schedule 13 of the LSA (which relies upon the definition in section 420 of the Financial Services and Markets Act 2000)? Yes No

If **Yes**, provide details:

7.7 Provide details of the ultimate beneficial owner(s) of the Applicant.

7.8 What steps has the Applicant taken to ensure compliance with section 190 of the LSA?

7.9 Are any of the Applicant's external investors incorporated or domiciled in the jurisdictions that are identified by the Financial Action Task Force ("FATF") as high risk and suspect, or that are on the Organisation for Economic Cooperation Development ("OECD") sanction list? Yes No

If **Yes**, provide details

Section 8 - Declaration

An individual manager (named at Section 5) must complete this section. They must have authority from all other managers of the Applicant to make this declaration on behalf of the firm. If this application is for a recognised sole practice, the intended sole practitioner must make this declaration. If the Applicant does not have any individual managers, a manager of a corporate manager must make this declaration.

Knowingly or recklessly giving false or misleading information, or failing to inform us of significant information, may lead us to:

- reject your application(s)
- revoke authorisation of the Applicant
- withdraw approval of a role holder, and/or
- take disciplinary action

You should not assume that information is known to us because it is in the public domain, or has previously been disclosed to us or another regulatory body. If you are in any doubt about the relevance of information, you should include it in this application.

The submission of this PDF constitutes a proper application, and the act of submission is evidence of a binding signature.

We may make enquiries and seek further information considered necessary in determining this application.

In making this application on behalf of the Applicant:

- 8.1 I confirm that I have read and understood the guidance and that the information in this application about the Applicant and all candidates is correct and complete to the best of my knowledge and belief
- 8.2 I confirm that I have authority to make this application and the declaration on behalf of the Applicant and all candidates named in the application.
- 8.3 I confirm that the proposed compliance officers consent to their nomination
- 8.4 I confirm that I will notify you as soon as any of the information provided in this application changes

Provide details of the individual manager making this declaration. This person must be listed as a manager in Section 5 of this form or be a manager of a corporate manager of the Applicant.

Title SRA number Date of birth

Surname

Forename(s)

Role

Email

Tick to confirm that you have read and understood the declaration Date

Section 9 - Returning the form

Applicant checklist

To help us process your application quickly, check that:

- 9.1 Any additional forms relating to role holders (FA2s), individual managers/owners (FA2s) or corporate managers/owners (FA3s) have been supplied with the completed FA1 form.
- 9.2 The declaration has been completed and signed

To submit this application email it, and any attachments to authorisation@sra.org.uk

Section 10 - What we will do with your data

The Solicitors Regulation Authority Limited is the 'data controller' of the personal information we collect. For more about how we handle your personal data, [Read our privacy notice](#).