

High-volume consumer claims - mandatory declaration

This mandatory declaration concerns your firm's compliance with the SRA Standards and Regulations when carrying out consumer claims work. You are required to provide a response to each question.

Once you have completed the declaration, you will receive an email attaching a PDF copy of your responses.

Who should complete this declaration?

The managing partner, managing director, Chief Executive Officer, or equivalent.

When do I need to submit the declaration by?

Friday 3 October 2025.

How long will it take to complete the declaration?

This declaration takes up to two hours to complete if you have all the information to hand. It may take longer if your firm carries out multiple types of consumer claims, and/or has multiple referrers, litigation funders, ATE insurers, and marketers.

Answers will automatically save each time you click on the **Next** button. You must complete the declaration in one sitting to avoid losing the information you have entered.

Is this declaration mandatory?

Yes. Failure to complete this declaration may be a breach of paragraph 3.3 of the [SRA Code of Conduct for Firms](#) and paragraph 7.4 of the [SRA Code of Conduct for Solicitors, RELs, RFLs and RSLs](#).

How will you handle my data?

The information gathered during this process will be used in the discharge of our regulatory obligations. This will include assessing compliance with our Standards and Regulations and potentially informing further regulatory action.

What can I do if I have a query?

There is guidance provided throughout the declaration. If you have queries about the declaration or process, please contact the Thematic team:

Email: consumerclaims@sra.org.uk

For any other queries, please contact the Professional Ethics team:

Email: professional.ethics@sra.org.uk

Telephone: 0370 606 2577

Thank you for your cooperation.

Click **Next** to begin.

Information about your firm

- 1. Firm name** _____
- 2. Firm SRA ID** _____
- 3. Your first name** _____
- 4. Your surname** _____

5. Your title

- ☐ Mrs
- ☐ Ms
- ☐ Miss
- ☐ Mr
- ☐ Mx
- ☐ Dr
- ☐ Professor

6. Your role _____

7. Your email address _____

8. Your telephone number _____

Your firm's work

9. What consumer claims work has your firm undertaken in the past 12 months?

- ☐ None
- ☐ Car finance
- ☐ Cavity wall insulation
- ☐ Data breach / data protection / cyber security
- ☐ Diesel emissions
- ☐ Flight delay
- ☐ Holiday sickness
- ☐ Housing disrepair
- ☐ Japanese knotweed
- ☐ Mis-sold pensions
- ☐ Mis-sold tax avoidance schemes
- ☐ Payment Protection Insurance
- ☐ Solar panel / green energy / other energy
- ☐ Tax refunds
- ☐ Timeshare
- ☐ Other financial services claims
- ☐ Other consumer claims - please give details: _____

Guidance

For the purposes of this declaration, 'consumer claims work' includes but is not limited to claims and preparation of potential claims for individual consumers regarding financial services, non-financial services and products.

'Consumer claims work' does not include:

- personal injury or clinical negligence work*
- claims on behalf of commercial organisations of any type (including small businesses)*
- defending consumer claims on behalf of an organisation or business.*

If you answer 'None' to question 9, you will be taken immediately to the declaratory statement and do not need to answer questions 10 to 121.

10. What is your firm's annual turnover for all legal work? _____

Guidance

Tell us about your firm's turnover arising from legal work carried out in England and Wales. If your firm does not have a complete 12 month accounting period (e.g. you are a new firm), provide your estimated turnover for your first 12 month accounting period.

11. Turnover: What percentage of your firm's annual turnover is derived from the following work areas?:

You only need to provide a response for the types of claims work your firm carries out.

Car finance _____
Cavity wall insulation _____
Data breach, data protection and cyber security _____
Diesel emissions _____
Flight delay _____
Holiday sickness _____
Housing disrepair _____
Japanese knotweed _____
Mis-sold pensions _____
Mis-sold tax avoidance schemes _____
Payment protection insurance _____
Solar panels, green energy and other energy _____
Tax refunds _____
Timeshare _____
Other financial service claims _____

12. Open matters: Approximately how many open consumer claims matters of the following types does your firm hold?

Guidance

For the purposes of this declaration, 'open matters' refers to any matters where there is an ongoing client retainer.

You only need to provide a response for the types of claims work your firm carries out.

Car finance _____
Cavity wall insulation _____
Data breach, data protection and cyber security _____
Diesel emissions _____
Flight delay _____
Holiday sickness _____
Housing disrepair _____
Japanese knotweed _____
Mis-sold pensions _____
Mis-sold tax avoidance schemes _____
Payment protection insurance _____
Solar panels, green energy and other energy _____
Tax refunds _____
Timeshare _____
Other financial service claims _____

13. Closed matters: Approximately how many consumer claims matters of the following types has your firm closed in the last twelve months?

Guidance

For the purposes of this declaration, 'closed matters' refers to any matters where the firm has formally concluded or terminated its retainer with the client.

You only need to provide a response for the types of claims work your firm carries out.

Car finance _____
Cavity wall insulation _____
Data breach, data protection and cyber security _____
Diesel emissions _____
Flight delay _____
Holiday sickness _____
Housing disrepair _____
Japanese knotweed _____
Mis-sold pensions _____
Mis-sold tax avoidance schemes _____
Payment protection insurance _____
Solar panels, green energy and other energy _____
Tax refunds _____
Timeshare _____
Other financial service claims _____

Other consumer claims work:

You only need to answer questions 14 to 19 if your firm carries out a type of consumer claim work not mentioned in the list at question 9.

14. What other type of consumer claim work does your firm carry out? _____

15. What percentage of your firm's annual turnover is derived from this type of work?

16. How many open matters does your firm have? _____

17. How many matters has the firm closed in the last twelve months? _____

18. How many legally qualified fee earners work on consumer claims? _____

19. How many non- legally qualified fee earners work on consumer claims? _____

Referral arrangements

20. Does your firm have an arrangement with any other business or organisation for the referral of clients or client leads in relation to consumer claims work?

☐ Yes

☐ No

If you answered 'yes' to question 20:

21. How many referrers does your firm have arrangements with? _____

You must provide information about each of your referrers. You will need to complete a separate submission for each referrer [here](#).

Guidance

For the purposes of this declaration, the terms 'referral', 'referral arrangement', and 'referrers' relate to arrangements firms have with third party organisations to source prospective clients. This includes:

- *claims management businesses which identify individuals who may have an eligible claim and refer them to law firms*
- *lead generators which provide contact details of prospective clients to law firms*
- *panel firm / fee sharing arrangements that involve the introduction of individuals to firms.*

Marketing and publicity

22. Does your firm have an arrangement with any other business or organisation to provide publicity or marketing in relation to consumer claims work?

☐ Yes

☐ No

If you answered 'yes' to question 22:

23. How many marketing businesses or organisations ('marketers') does your firm have arrangements with? _____

You must provide information about each of your marketers. You will need to complete a separate submission for each marketer [here](#).

Guidance

For the purposes of this declaration, 'marketing and publicity' refers to any activity aimed at advertising the firm and its services. This includes websites, social media content, and print or online communication.

Client acquisition

You are required to confirm the following statements on behalf of your firm. These statements reflect your and your firm's professional obligations set out in:

- Paragraphs 5.1(e), 8.8 and 8.9 of the [Code of Conduct for Solicitors, RELs, RFLs and RSLs](#)
- Paragraph 2.1(a) and 2.3 of the [Code of Conduct for Firms](#)
- [Warning notice: Marketing your services to members of the public](#)

24. The firm ensures its publicity, including publicity produced by those the firm employs or contracts with, is accurate and not misleading.

- ☐ Yes
☐ No

25. What measures has the firm taken?

- ☐ Firm has written agreement with relevant third party
☐ Firm has verbal agreement with relevant third party
☐ Firm approves third party's content before publication
☐ Firm carries out regular checks of third party's work
☐ Firm has effective supervision and approvals process before publication
☐ Firm hires dedicated and specialist marketing and publicity staff
☐ Firm carries out audits on publicity material it produces
☐ Other - not listed above

26. If the firm has taken any measures not mentioned above, please give details. _____

If you answered 'no' to question 25, you must answer questions 27 to 29.

27. If unable to answer 'yes' to this statement, briefly explain why. _____

28. What, if any, steps is the firm taking to address this? _____

29. When do you expect the firm to have completed these steps? _____

30. The firm does not make unsolicited approaches to members of the public, with the exception of current or former clients, in order to advertise legal services.

- ☐ Confirmed
☐ Not confirmed

If you answered 'no' to question 30, you must answer questions 31 to 33.

31. If unable to answer 'confirmed' to this statement, briefly explain why. _____

32. What, if any, steps is the firm taking to address this? _____

33. When do you expect the firm to have completed these steps? _____

If your firm has referrers or marketers, you must answer questions 34 to 39.

34. The firm has effective measures in place to ensure that any business or organisation acting on its behalf ('the supplier') does not make unsolicited approaches to members of the public, with the exception of current or former clients, in order to advertise legal services.

- ☐ Yes
☐ No

35. What measures does the firm have in place?

- ☐ Firm provides verbal information about the requirement to the supplier
☐ Firm provides written information about the requirement to the supplier
☐ Requirement is specifically set out in a written contract with the supplier
☐ The supplier is regulated by the Financial Conduct Authority and therefore prohibited from this activity
☐ The supplier is SRA-regulated and is therefore prohibited from this activity
☐ Firm collects and reviews information from clients about how they heard about the firm and its services
☐ Firm carries out regular audits / quality checks on supplier
☐ Other - not listed above

36. If the firm has taken any measures not mentioned above, please give details. _____

If you answered 'no' to question 34, you must answer questions 37 to 39.

37. If unable to answer 'yes' to this statement, briefly explain why. _____

38. What, if any, steps is the firm taking to address this? _____

39. When do you expect the firm to have completed these steps? _____

Litigation funding

40. Does your firm have litigation funding for its consumer claims work?

- ☐ Yes
☐ No

If you answered 'yes' to question 40, you must answer questions 41 to 43.

41. How many litigation funders does your firm have arrangements with? _____

42. Does your firm arrange litigation funding on behalf of clients for consumer claims?

- ☐ Yes
☐ No

If you answered 'yes' to question 42:

43. How many litigation funders has your firm made arrangements with on behalf of clients? _____

You must provide information about each litigation funder your firm has arrangements with or has made arrangements with on behalf of clients. You will need to complete a separate submission for each litigation funder [here](#).

Guidance

Tell us if your firm has any arrangements with a third party to fund its consumer claims work, or has made such arrangements on behalf of clients. This includes provision of:

- *funding for individual claims*
- *funding for portfolios of claims*
- *working capital*
- *a general credit facility.*

Funding your firm's claims

If your firm has litigation funding for its consumer claims work, you must answer questions 44 to 59.

You are required to confirm the following statements on behalf of your firm. These statements reflect your and your firm's professional obligations set out in:

- [Principle 7](#)
- Paragraph 8.6 of the [Code of Conduct for Solicitors, RELs, RFLs and RSLs](#)
- Paragraphs 2.1(a), 2.4, 2.5 and 6.1 of the [Code of Conduct for Firms](#).

44. The firm has effective measures in place to ensure that the proposed litigation funding arrangement is in the best interests of each client and avoids any own interest conflicts.

- ☐ Yes
☐ No

If you answered 'no' to question 44, you must answer questions 45 to 47.

45. If unable to answer 'yes' to this statement, briefly explain why. _____

46. What, if any, steps is the firm taking to address this? _____

47. When do you expect the firm to have completed these steps? _____

48. The firm has effective measures in place to ensure each client can make an informed decision about proceeding with any proposed litigation funding agreement.

- ☐ Yes
☐ No

49. What measures has your firm taken?

- ☐ Firm gives clients funding information and advice verbally
- ☐ Firm gives clients funding information and advice in writing
- ☐ Firm ensures clients obtain independent advice on funding
- ☐ Firm discusses insurance cover with clients
- ☐ Firm provides clients with a copy of litigation funding agreement
- ☐ Firm provides FAQ or guidance document to clients
- ☐ Other - not listed above

50. If your firm has taken any measures not mentioned above, please give details. _____

If you answered 'no' to question 48, you must answer questions 51 to 53.

51. If unable to answer 'yes' to this statement, briefly explain why. _____

52. What, if any, steps is the firm taking to address this? _____

53. When do you expect the firm to have completed these steps? _____

54. The firm has effective measures in place to ensure that:

	Yes	No
all material risks to the business arising from its use of litigation funding are identified, monitored and managed	()	()
it actively monitors its financial stability and business viability	()	()

55. What measures has your firm taken?

- ☐ Firm produces regular reports on financial performance
- ☐ Firm's managers regularly review information on firm's financial performance
- ☐ Firm's company accounts (or equivalent) are independently audited (NB. does not include accountant's reports)
- ☐ Firm has owners, managers or staff with professional expertise relevant to managing financial performance
- ☐ Firm uses external financial expertise to manage financial performance
- ☐ Firm has a risk management framework in place to identify and manage financial risk
- ☐ Firm carries out source of funds checks on litigation funders
- ☐ Firm carries out sanctions checks on litigation funders
- ☐ Other - not listed above

56. If your firm has taken any measures not mentioned above, please give details. _____

If you answered 'no' to question 54 you must answer questions 57 to 59.

57. If unable to answer 'yes' to the statement(s), briefly explain why. _____

58. What, if any, steps is the firm taking to address this? _____

59. When do you expect the firm to have completed these steps? _____

Onboarding clients

You are required to confirm the following statements on behalf of your firm. These statements reflect your and your firm's professional obligations set out in:

- Paragraphs 3.1, 6.1, and 8.1 of the [Code of Conduct for Solicitors, RELs, RFLs and RSLs](#)
- Paragraphs 2.1(a), 2.2, 6.2 and 7.1 of the [Code of Conduct for Firms](#).

60. The firm has effective measures in place to identify each client and keep an accurate record of each of their matters.

- ☐ Yes
☐ No

61. What measures has your firm taken?

- ☐ ID checks - carried out by firm
☐ ID checks - carried out by third party contracted by firm
☐ Conflict of interest checks - carried out by firm
☐ Conflict of interest checks - carried out by third party contracted by firm
☐ Sanctions checks - carried out by firm
☐ Sanctions checks - carried out by third party contracted by firm
☐ Firm checks onboarding carried out by employees
☐ Firm checks onboarding carried out by third party contracted by firm
☐ Senior member of the firm has overall responsibility for quality of onboarding process
☐ Other - not listed above

62. If your firm has taken any measures not mentioned above, please give details. _____

If you answered 'no' to question 60, you must answer questions 63 to 65.

63. If unable to answer 'yes' to this statement, briefly explain why. _____

64. What, if any, steps is the firm taking to address this? _____

65. When do you expect the firm to have completed these steps? _____

66. The firm only acts on instructions from the client or someone authorised to provide instructions on the client's behalf.

- ☐ Yes
☐ No

67. What measures has your firm taken to ensure compliance?

- ☐ Firm confirms instructions with clients verbally
☐ Firm confirms instructions with clients in writing
☐ Third party confirms instructions with clients verbally on the firm's behalf
☐ Third party confirms instructions with clients in writing on the firm's behalf
☐ Firm's terms of business provide authority for firm to accept or reject settlement offers without explicit approval from clients
☐ Firm checks onboarding carried out by employees
☐ Firm checks onboarding carried out by third party contracted by firm
☐ Other - not listed above

68. If your firm has taken any measures not mentioned above, please give details. ____

If you answered 'no' to question 66, you must answer questions 69 to 71.

69. If unable to answer 'yes' to this statement, briefly explain why. _____

70. What, if any, steps is the firm taking to address this? _____

71. When do you expect the firm to have completed these steps? _____

72. The firm keeps and maintains records to demonstrate compliance of the firm and any third party it contracts for client onboarding processes.

☐ Yes

☐ No

If you answered 'no' to question 72, you must answer questions 73 to 75.

73. If unable to answer 'yes' to this statement, briefly explain why. _____

74. What, if any, steps is the firm taking to address this? _____

75. When do you expect the firm to have completed these steps? _____

After-the-event insurance

76. Does your firm arrange After-the-event (ATE) insurance on behalf of clients for consumer claims?

☐ Yes

☐ No

If you answered 'yes' to question 76, you must answer questions 77 to 79.

77. How many ATE insurers does your firm have arrangements with? _____

78. How many ATE insurance brokers does your firm have arrangements with? _____

79. How many ATE insurance underwriters does your firm have arrangements with? _

You **must** provide information about each of your ATE insurance insurers, brokers and/or underwriters. You will need to complete a separate submission for each ATE insurer, broker and underwriter [here](#).

ATE insurance

If your firm arranges ATE insurance on behalf of clients for consumer claims work, you must answer questions 80 to 99.

You are required to confirm the following statements on behalf of your firm. These statements reflect your and your firm's professional obligations set out in:

- Paragraph 8.6 of the [Code of Conduct for Solicitors, RELs, RFLs and RSLs](#)
- Paragraph 2.1(a) of the [Code of Conduct for Firms](#)
- Rules 5.2(a) of the [SRA Financial Services \(Scope\) Rules](#)
- Rules 2, 10, 11, 12, 16, 17, and 21.1 of the [SRA Financial Services \(Conduct of Business\) Rules](#)
- Guidance on [law firms carrying on insurance distribution activities](#).

80. The firm is registered on the Financial Services Register as an Exempt Professional Firm or Authorised Professional Firm and is authorised to arrange ATE insurance on behalf of clients.

- ☐ Yes
☐ No

If you answered 'no' to question 80, you must answer questions 81 to 83.

81. If unable to answer 'yes' to this statement, briefly explain why. _____

82. What, if any, steps is the firm taking to address this? _____

83. When do you expect the firm to have completed these steps? _____

84. Before any ATE insurance policy is put in place, the firm gives each client the following information:

	Yes	No
The firm's prescribed status disclosure	<input type="checkbox"/>	<input type="checkbox"/>
Whether the firm is providing a personal recommendation	<input type="checkbox"/>	<input type="checkbox"/>
A statement of the client's demands and needs	<input type="checkbox"/>	<input type="checkbox"/>
Any commission or remuneration the firm receives in relation to the insurance policy	<input type="checkbox"/>	<input type="checkbox"/>
Any fee payable by the client	<input type="checkbox"/>	<input type="checkbox"/>

If you answered 'no' to question 84, you must answer questions 85 to 87.

85. If unable to answer 'yes' to the statement(s), briefly explain why. _____

86. What, if any, steps is the firm taking to address this? _____

87. When do you expect the firm to have completed these steps? _____

88. The firm obtains and documents informed consent from each client to put ATE insurance in place.

- ☐ Yes
☐ No

89. What measures has your firm taken to ensure compliance?

- ☐ Firm gives clients information and advice on ATE insurance verbally
- ☐ Firm gives clients information and advice on ATE insurance in writing
- ☐ Firm provides clients with a copy of ATE insurance policy
- ☐ Firm provides FAQ or guidance document to clients
- ☐ Firm requires written form of client consent before putting ATE insurance in place
- ☐ Other - not listed above

90. If your firm has taken any measures not mentioned above, please give details. ____

If you answered 'no' to question 88, you must answer questions 91 to 93.

91. If unable to answer 'yes' to this statement, briefly explain why. ____

92. What, if any, steps is the firm taking to address this? ____

93. When do you expect the firm to have completed these steps? ____

94. The firm has effective measures in place to ensure that its and its clients' obligations under ATE insurance policies are met.

- ☐ Yes
- ☐ No

95. What measures has your firm taken?

- ☐ Firm obtains permission from ATE insurance provider as and when required prior to taking action to progress or close claims
- ☐ Firm reports key information to ATE insurance provider as and when required
- ☐ Firm actively monitors prospects of success and takes appropriate action when prospects fall below defined thresholds
- ☐ Firm has regular meetings with ATE insurance provider to discuss cases and any issues arising
- ☐ Firm regularly reviews adequacy of ATE insurance cover
- ☐ Other - not listed above

96. If your firm has taken any measures not mentioned above, please give details. ____

If you answered 'no' to question 94, you must answer questions 97 to 99.

97. If unable to answer 'yes' to this statement, briefly explain why. ____

98. What, if any, steps is the firm taking to address this? ____

99. When do you expect the firm to have completed these steps? ____

Advising clients, client care and costs information

You are required to confirm the following statements on behalf of your firm. These statements reflect your and your firm's professional obligations set out in:

- Paragraphs 2.4, 5.1(a), 5.1(b), 8.6, and 8.7 of the [Code of Conduct for Solicitors, RELs, RFLs and RSLs](#)
- Paragraph 2.1(a) of the [Code of Conduct for Firms](#).

100. When carrying out consumer claims work, the firm only makes assertions or puts forward statements, representations or submissions to the court or others which are properly arguable.

- () Yes
() No

101. What measures has the firm taken?

- [] Assessing merits of claims and prospects of success
[] Process or procedure in place for evaluation of claims
[] Quality assurance of process for evaluation of claims
[] Senior member of firm has responsibility for claims evaluation process
[] Regularly reviewing merits of claims and prospects of success
[] Seeking Counsel's advice
[] Seeking expert advice
[] Using vetting criteria to ensure firm only advances cases with merit
[] Other - not listed above: _____

102. If the firm has taken any measures not mentioned above, please give details._____

If you answered 'no' to question 100, you must answer questions 103 to 105.

103. If unable to answer 'yes' to this statement, briefly explain why. _____

104. What, if any, steps is the firm taking to address this? _____

105. When do you expect the firm to have completed these steps? _____

106. The firm has effective measures in place to ensure clients are provided with information in a way that they can understand, so that 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.

- () Yes
() No

107. What measures has your firm taken?

- [] Firm informs clients of the person with conduct of and responsibility for the matter
[] Firm informs clients of scope of the work to be done
[] Firm gives clients an assessment of the merits of their case and its prospects of success
[] Firm informs clients of likely timescales for case progression
[] Firm explains methods of communication to clients
[] Firm advises clients of any ombudsmen, public compensation or redress schemes that clients can approach directly themselves at no cost
[] Firm informs clients of any fee sharing arrangements relevant to their matter
[] Firm contracts third party to provide clients with relevant information
[] Relevant information is provided on the firm's website
[] Firm verbally verifies that clients understand the information given

- ☐ Firm verifies in writing that clients understand the information given
☐ Other - not listed above

108. If your firm has taken any measures not mentioned above, please give details. ____

If you answered 'no' to question 106, you must answer questions 109 to 111.

109. If unable to answer 'yes' to this statement, briefly explain why. ____

110. What, if any, steps is the firm taking to address this? ____

111. When do you expect the firm to have completed these steps? ____

112. The firm has effective measures in place to ensure clients 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 incurred.

- ☐ Yes
☐ No

113. What measures has your firm taken?

- ☐ Firm informs clients how costs are calculated
☐ Firm informs clients how costs will be paid
☐ Firm gives clients costs estimates
☐ Firm advises clients of the consequences if the client discontinues or withdraws their claim
☐ Firm explains deductions to be made at settlement or on receipt of damages/compensation
☐ Firm informs clients of likely disbursements
☐ Firm informs clients of the success fee (including when it is payable and how it is calculated)
☐ Firm advises clients of potential adverse costs
☐ Firm advises clients on the implications of litigation funding agreements
☐ Firm advises clients on the implications of Conditional Funding Agreements
☐ Firm advises clients on the implications of Damages Based Agreements
☐ Firm advises clients on the implications of After-The-Event insurance
☐ Firm advises clients on the implications of Before-The-Event insurance
☐ Firm provides updates on costs as the matter progresses
☐ Firm provides updates on costs at key milestones of a case
☐ Firm contracts third party to provide clients with relevant information
☐ Relevant information is provided on the firm's website
☐ Firm verbally verifies that clients understands the information given
☐ Firm verifies in writing that client understands the information given
☐ Other - not listed above

114. If your firm has taken any measures not mentioned above, please give details. ____

If you answered 'no' to question 112, you must answer questions 115 to 117.

115. If unable to answer 'yes' to this statement, briefly explain why. ____

116. What, if any, steps is the firm taking to address this? ____

117. When do you expect the firm to have completed these steps? _____

118. The firm has effective measures in place to ensure that clients are informed of:

	Yes	No	N/A - firm has no referrers or fee sharing agreements
any financial or other interest received by a referrer or the firm as a result of a referral arrangement	()	()	()
any fee sharing agreement relevant to their matter	()	()	()

If you answered 'no' to question 118, you must answer questions 119 to 121.

119. If unable to answer 'yes' to the statement(s), briefly explain why. _____

120. What, if any, steps is the firm taking to address this? _____

121. When do you expect the firm to have completed these steps? _____

Declaratory statement

I, *[your name]*, am *[your firm]'s [your role]*.

I understand that it is my responsibility to make sure all the information I have given is correct and complete.

I understand that if I have knowingly or recklessly given you information that is false or misleading (or if I failed to tell you about any significant information) you could take disciplinary action.

[] I confirm that the information I have given is correct, to the best of my knowledge and belief.

[] I confirm that I have taken reasonable steps to verify the information provided from records held by the firm and consider the responses to be complete and accurate.