

Referrers - information form

This form is part of your firm's mandatory declaration. You must ensure the information you provide is accurate.

You have told us that your firm has an arrangement with a business or organisation for the referral of clients or client leads in relation to consumer claims work.

You are required to provide information about each of your firm's referrers. **Please complete a separate form for each referrer.**

The information gathered as part of 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.

This section relates to your and your firm's professional obligations set out in:

- Paragraphs 5.1, 5.2 and 5.3 of the [Code of Conduct for Solicitors, RELs and RFLs](#)
- [Warning notice: Marketing your services to members of the public.](#)

Information about your firm

Firm name _____

Firm SRA ID _____

Your name _____

Your role _____

Your firm's referrer

1. What is the referrer's name? _____

Guidance

For the purposes of this declaration, the terms 'referral', 'referral arrangement', and 'referrer' relate to any 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.*

Your firm's referral arrangements

2. [Referrer] is:

☐ An individual

☐ A company

☐ Other - Write In: _____

If the referrer is a company:

3. What is [referrer]'s company registration number? _____

4. What is the total amount paid by [your firm] (or any entity on behalf of the firm) to [referrer] in the last twelve months? _____

5. What type(s) of referrals does [referrer] make?

☐ Car finance

☐ Cavity wall insulation

☐ Diesel emissions

☐ Data breach, data protection and cyber security

☐ 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 refund

☐ Timeshare

☐ Other financial services claims

☐ Other consumer claims - please give details: _____

You will not need to answer every question from 6 to 21. You only need to provide a response for the types of claims work that your firm carries out.

6. How many car finance matters has [referrer] referred to your firm in the last twelve months? _____

7. How many cavity wall insulation matters has [referrer] referred to your firm in the last twelve months? _____

8. How many diesel emissions matters has [referrer] referred to your firm in the last twelve months? _____

- 9.** How many data breach, data protection or cyber security matters has [referrer] referred to your firm in the last twelve months? _____
- 10.** How many flight delay matters has [referrer] referred to your firm in the last twelve months? _____
- 11.** How many holiday sickness matters has [referrer] referred to your firm in the last twelve months? _____
- 12.** How many housing disrepair matters has [referrer] referred to your firm in the last twelve months? _____
- 13.** How many Japanese knotweed matters has [referrer] referred to your firm in the last twelve months? _____
- 14.** How many mis-sold pensions matters has [referrer] referred to your firm in the last twelve months? _____
- 15.** How many matters relating to mis-sold tax avoidance schemes has [referrer] referred to your firm in the last twelve months? _____
- 16.** How many Payment Protection Insurance matters has [referrer] referred to your firm in the last twelve months? _____
- 17.** How many matters relating to solar panels, green energy or other energy has [referrer] referred to your firm in the last twelve months? _____
- 18.** How many tax refund matters has [referrer] referred to your firm in the last twelve months? _____
- 19.** How many timeshare matters has [referrer] referred to your firm in the last twelve months? _____
- 20.** How many other types of financial services matters has [referrer] referred to your firm in the last twelve months? _____
- 21.** How many other types of consumer claims has [referrer] referred to your firm in the last twelve months? _____
- 22.** How is [your firm]'s payment to [referrer] calculated?
- ☐ Payment calculated by volume of client leads or referrals provided
 - ☐ Payment calculated by reference to successful claims
 - ☐ Fixed costs with or without associated minimum lead volume
 - ☐ Fee sharing agreement with referrer
 - ☐ Other - not listed above
- 23.** If [your firm]'s payment to [referrer] is calculated in a way not mentioned above, please give details. _____

24. What client onboarding activities, if any, does [your firm] complete on behalf of [referrer]?

- ☐ No client onboarding activities completed
- ☐ Verifies the identity of referred individuals
- ☐ Provides the firm's client care letter and/or terms of business
- ☐ Obtains client consent to firm's retainer
- ☐ Explains funding arrangements to referred individuals and obtains their consent (eg conditional fee agreements, litigation funding arrangements)
- ☐ Arranges ATE insurance on behalf of clients
- ☐ Other - not listed above

25. If [referrer] completes a client onboarding activity not mentioned above, please give details. _____

26. Where referrals relate to housing claims (including housing disrepair) and financial services claims, have you checked [referrer] is authorised by the Financial Conduct Authority?

- ☐ Yes
- ☐ No
- ☐ N/A - referrals do not relate to housing claims or financial services claims

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.