

# FA2 - Individual approval application



Use this form to apply for approval of individual:

- managers
- owners
- compliance officer for legal practice (COLP) or for finance and administration (COFA)
- related body COLP or COFA

This form is not for role holders who meet the deeming criteria in rules 13.2 and 13.5 of the SRA Authorisation of Firms Rules.

In this form, 'Candidate' means the individual requiring approval. 'Applicant Firm' means the authorised body that the Candidate's post(s)/role(s) will be in if we approve them.

## Section 1 - Application details

1.1	Applicant Firm	<input style="width: 100%;" type="text"/>		
1.2	Applicant Firm SRA no	<input style="width: 100%;" type="text"/>		
1.3	Is the Applicant Firm an existing authorised body?	<b>Yes</b>	<b>No</b>	
1.4	The Candidate needs approval as a:			
	<b>COLP</b>	<b>COFA</b>	<b>Manager</b>	<b>Owner</b>
1.5	Is this application related to an acquisition of or by another authorised body?	<b>Yes</b>	<b>No</b>	
	If <b>Yes</b> , provide details below			
	<div style="border: 1px solid black; height: 60px; width: 100%;"></div>			
1.6	Has the Applicant Firm been authorised by the SRA to carry out work subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (the MLRs)?	<b>Yes</b>	<b>No</b>	
	If <b>Yes</b> , will the Candidate be a manager, beneficial owner or officer of the firm as defined in the MLRs?	<b>Yes</b>	<b>No</b>	
	If <b>Yes</b> , and the Candidate is not already approved, you must apply for approval under the MLRs by completing and uploading form FA10b, with DBS results, with this application.			

## Section 2 - Candidate details

2.1	Forename(s)	<input type="text"/>	Surname	<input type="text"/>
	Title	<input type="text"/>	Date of birth	<input type="text"/>
	SRA no	<input type="text"/>		
2.2	Nationality	<input type="text"/>		
2.3	Does the Candidate have the right to work in the United Kingdom?	<b>Yes</b>	<b>No</b>	
	If <b>No</b> , provide details below			
	<input type="text"/>			
2.4	Visa number (if applicable)	<input type="text"/>		
2.5	Home address	<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
	Postcode	<input type="text"/>		
	Email address	<input type="text"/>		
	Phone	<input type="text"/>		
2.6	Practising address	<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
	Postcode	<input type="text"/>		
	Email address	<input type="text"/>		
	Phone	<input type="text"/>		

## Regulatory status

2.7 The Candidate is a:

Solicitor of England & Wales

Other UK lawyer

Title

Registered European lawyer (REL) with the SRA

Registered foreign lawyer (RFL)

Swiss lawyer registered with the BSB

Title

Other lawyer

Title

Non authorised individual

Title/status

2.8 Is the Candidate entitled to practise law in England and Wales?

**Yes**

**No**

2.9 Has the Candidate been a member of any professional or regulatory body?

**Yes**

**No**

If **Yes**, provide the following details for all bodies:

Name of body

Registration/membership no

Jurisdiction of qualification

Date of admission

2.10 If applicable, provide a Certificate of Good Standing, or equivalent written confirmation, from the professional body or regulator confirming that the Candidate is:

- authorised by that regulator,
- entitled to practise, and
- not subject to any condition or other restriction.

Certificate uploaded with application?

**Yes**

## Employment history

Provide details below for all employment, including self-employment, for the last five years. Provide details of additional employers on a separate sheet uploaded with this form.

### Current or most recent employer

2.11 Employer

Position

Address

Postcode

Start date

SRA no

End date

2.12 Did or does this employment and/or business involve:

(a) The practise of law in England & Wales?

**Yes**

**No**

(b) Claims management activities in England & Wales?

**Yes**

**No**

### Previous employer

2.13 Employer

Position

Address

Postcode

Start date

SRA no

End date

2.14 Did or does this employment and/or business involve:

(a) The practise of law in England & Wales?

**Yes**

**No**

(b) Claims management activities in England & Wales?

**Yes**

**No**

## Separate businesses

2.15 Will the Candidate own, actively participate in or be connected with a separate business

- |  |            |           |
|--|------------|-----------|
| (a) That will engage in legal activities?  | <b>Yes</b> | <b>No</b> |
| (b) That will engage in claims management activities?  | <b>Yes</b> | <b>No</b> |
| (c) To which clients, or aspects of their case, will be referred, signposted or transferred?   | <b>Yes</b> | <b>No</b> |
| (d) Which are jointly advertised or promoted with authorised businesses (including sharing a website, offering joint services or bidding for work together)? | <b>Yes</b> | <b>No</b> |

If **Yes** to any of the above, provide details in the following table.

Business name	Regulator	Relationship with Candidate	Type of work undertaken	Will it stay separate or amalgamate with the Applicant Firm?

## Section 3 - Owners

Complete this section if you are applying for approval for the Candidate to be an owner of the Applicant Firm

3.1 How will the interest be held?

3.2 Percentage held

3.3 Will the Candidate hold this share as a nominee?

**Yes**

**No**

If **Yes**, provide details below

3.4 Is the Applicant Firm a body:

With share capital?

**Yes**

**No**

With capital but no share capital?

**Yes**

**No**

Without capital?

**Yes**

**No**

Under the Legal Services Act (the LSA), shares means:

- For bodies with share capital, allotted shares.
- For bodies with capital but no share capital, rights to share in the capital of the body.
- For bodies without capital:
  - rights to share in the profits, or liability to contribute to the losses, of the body, or
  - an obligation to contribute to the debts or expenses of the body in the event of a winding up.

3.5 To help us to understand the structure of your business and what approval is needed, upload each of the following documents applicable to the Applicant Firm:

Corporate structure chart showing current and proposed managers and owners

If the Applicant Firm is a body with capital, but with no share capital, a document that confirms the percentages that persons hold the:

- rights to share in the capital of the body, and
- entitlement to exercise or control the exercise of the voting power/ rights.

If the Applicant Firm is a body without capital, a document that confirms the percentages that persons hold the:

- rights to share in the profits, and/or
- liability to contribute to the losses, and/or
- an obligation to contribute to debts or expenses in the event of a winding up, and/or
- an entitlement to exercise or control the exercise of the voting power/ rights.

## Section 4 - Compliance officers

If the roles will be held by different individuals, you need to complete separate FA2 forms.

If your firm is nominating a COLP/COFA who is not currently regulated by us, they must register for a mySRA account first and record their mySRA ID.

If the Candidate needs approval as a manager, but otherwise meets the deeming criteria in rule 13.5 of the SRA Authorisation of Firms Rules, continue to Section 5 of this form.

### Compliance officer for legal practice

4.1 The Candidate is a:

**Manager**

**Employee**

4.2 Has the Candidate ever managed or supervised staff?

**Yes**

**No**

If **Yes**, provide details below

4.3 Has the Candidate ever managed a business, alone or with others?

**Yes**

**No**

If **Yes**, provide details below

4.4 Has the Candidate ever managed or supervised an office?

**Yes**

**No**

If **Yes**, provide details below

4.5 What experience does the Candidate have that is relevant to the role?

4.6 Explain how the Candidate is suitable for the role and whether they have sufficient seniority and responsibility to carry it out.

4.7 Provide details of any relevant training courses that the Candidate has attended.

**Compliance officer for finance and administration**

4.8 The Candidate is a:

**Manager**

**Employee**

4.9 Provide a summary of the Candidate's experience and knowledge of managing finance, including:

Billing and recovery

Computerisation

Preparing budgets

Controlling costs

Financial and management information

4.10 What experience does the Candidate have of working with the SRA Accounts Rules?



4.11 Who will undertake the day-to-day accounting activities in the Applicant Firm?

4.12 Does the Candidate have experience in signing off reconciliation statements?

**Yes**

**No**

4.13 What process does the Applicant Firm have for signing off reconciliation statements?

4.14 How will the Candidate manage the office and client accounts?

4.15 Explain how the Candidate is suitable for the role and whether they have sufficient seniority and responsibility to carry it out.

4.16 If the Applicant Firm does not intend to hold client money, how will disbursements be paid?

4.17 If the Applicant Firm does not intend to hold client money, how will compensation be dealt with and paid?

4.18 If the Applicant Firm does not intend to hold client money, how will clients be invoiced and billed?

**Related body COLP/COFA**

Complete these questions if the Candidate is to be a COLP and/or a COFA for a related authorised body. See Rule 8.3 of the SRA Authorisation of Firms Rules.

4.19 List all of the related bodies in the table below. We retain the right to refuse approval in some or all of these entities.

Firm name	Firm SRA no	Role

## Section 5 - Character and suitability

We have a responsibility to make sure that those who hold certain roles are fit and proper to do so. We use the term “character and suitability” in this context.

The SRA Assessment of Character and Suitability Rules set out the kind of factors we will consider when assessing character and suitability.

The Candidate must disclose all matters, wherever they have taken place (including overseas), which are relevant to our assessment of their character and suitability. This includes, where practicable, any information set out in Table 4 of the SRA Assessment of Character and Suitability Rules which is relevant to the matter in question.

The Candidate has an ongoing obligation to tell us promptly about anything that raises a question as to their character and suitability, or any change to information previously disclosed to us in support of this application, after it has been made. This obligation continues once the Candidate’s designation has been approved.

The Candidate must provide any evidence relevant to our consideration of their character and suitability. Table 3 of the SRA Assessment of Character and Suitability Rules sets out the types of aggravating and mitigating factors we will consider when considering character and suitability questions.

Failure to disclose relevant information will be considered when making our determination.

### 5.1 THE CANDIDATE HAS READ AND UNDERSTOOD THE STATEMENTS ABOVE

#### Criminal conduct

You must tell us about all “spent convictions or cautions” unless they are protected as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013). Section 3.1 of the Suitability Rules gives more information about when a conviction or caution is protected.

#### 5.2 Does the Candidate have any convictions (that are not protected as set out above)

- |  |            |           |
|--|------------|-----------|
| i) for which the Candidate received a custodial or suspended sentence?     | <b>Yes</b> | <b>No</b> |
| ii) involving dishonesty, fraud, perjury and/or bribery?                   | <b>Yes</b> | <b>No</b> |
| iii) of a violent or sexual nature?  | <b>Yes</b> | <b>No</b> |
| iv) associated with obstructing the course of justice?                     | <b>Yes</b> | <b>No</b> |
| v) demonstrating behaviour showing signs of discrimination towards others? | <b>Yes</b> | <b>No</b> |
| vi) associated with terrorism?   | <b>Yes</b> | <b>No</b> |

Has the Candidate been convicted by a court of more than one criminal offence?	<b>Yes</b>	<b>No</b>
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Has the Candidate accepted a caution from the police for an offence involving dishonesty, violence, discrimination or a sexual offence (which is not protected as set out above)?	<b>Yes</b>	<b>No</b>
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Has the Candidate been included on the Violent and Sex Offenders register?	<b>Yes</b>	<b>No</b>
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**These are the most serious and a finding is likely to result in a refusal**

5.3	Has the Candidate accepted a caution for, or been convicted by a court for any other offence (which is not protected as set out above)?	<b>Yes</b>	<b>No</b>
	Is the Candidate currently subject to a conditional discharge or bind over by the court?	<b>Yes</b>	<b>No</b>

5.4 Is the Candidate currently facing any criminal charges? **Yes** **No**

If the Candidate answers **Yes** to 5.4, they must disclose details of the charge(s)

**These are serious and a finding may result in a refusal**

**If the Candidate answers Yes to 5.2, 5.3 and/or 5.4, they will need to provide the following evidence relating to criminal offences:**

- At least one independent report relating to the event such as a report from the police, the court or a solicitor.
- Any sentencing remarks from the Candidate’s case.
- Any Memorandum of an Entry on the Court Register.
- Proof that the Candidate has paid any penalty or fine imposed or costs ordered as a result of the matter the Candidate has disclosed.
- In relation to any motoring offence, the Candidate’s online driving licence record.

**Other conduct and behaviour**

Refer to Rule 4.1 and Table 2 of the SRA Assessment of Character and Suitability Rules

5.5 Has the Candidate behaved in a way:

i) Which is dishonest?	<b>Yes</b>	<b>No</b>
ii) Which is violent?	<b>Yes</b>	<b>No</b>
iii) Which is threatening or harassing?	<b>Yes</b>	<b>No</b>
iv) Where there is evidence of discrimination towards others?	<b>Yes</b>	<b>No</b>
Has the Candidate misused their position to obtain pecuniary advantage?	<b>Yes</b>	<b>No</b>
Has the Candidate misused their position of trust in relation to vulnerable people?	<b>Yes</b>	<b>No</b>
Is the Candidate aware of any evidence reflecting adversely on the honesty and integrity of a person they are related to, affiliated with, or act together with, where that person may have an influence on how the Candidate will exercise their role?	<b>Yes</b>	<b>No</b>

## Assessment offences

5.6	Has the Candidate committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence, which amounts to plagiarism or cheating, in order to gain advantage for the Candidate or others?	Yes	No
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### If the Candidate answers Yes to 5.6 they will need to provide the following evidence:

- Any minutes and/or transcripts from any meeting or hearing relating to the offence.
- Outcome of any investigation, any decision, sanction or appeal relating to the offence.
- Details which describe the extent to which the Candidate could reasonably have been expected to realise that the offence did not constitute legitimate academic practice.

## Financial conduct/events

5.7	Has the Candidate deliberately sought to avoid responsibility for their debts?	Yes	No
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Has the Candidate managed their finances dishonestly? Yes No

Has the Candidate been declared bankrupt, entered into any individual voluntary arrangements, have a current County Court judgment issued against them or been made subject to a Debt Relief Order? Yes No

Is or has the Candidate been a manager or owner of any company, LLP or partnership which has been the subject of a winding up order, an administrative order or administrative receivership, or has otherwise been wound up or put into administration in circumstances of insolvency? Yes No

Is the Candidate unable to satisfactorily manage their finances (e.g. has the Candidate fallen behind with six or more consecutive payments and/or has been registered with a credit reference agency)? Yes No

Is the Candidate subject to possession proceedings (e.g. for falling behind on mortgage payments) and/or subject to a Liability Order (e.g. for non-payment of council tax)? Yes No

### If the Candidate answers Yes to 5.7 they will need to provide the following evidence:

- In relation to CCJs or IVAs, proof that they have met the creditor's agreement in full or that it continues to be met; a copy of any judgment; a certificate of satisfaction from the court or a Registry Trust Limited report; and a credit report that is no more than one month old.
- In relation to bankruptcy, a copy of the petition; or if they have been discharged, a copy of the Certificate of Discharge; and a credit report that is no more than one month old.
- Details of actions they have taken to clear debts, satisfy judgments and manage their finances.

## Regulatory or disciplinary findings

5.8	Has the Candidate been made the subject of a serious disciplinary or regulatory finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to regulatory or disciplinary findings?	Yes	No
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Has the Candidate failed to disclose information to a regulatory body (including the SRA) when required to do so or provided false or misleading information?	<b>Yes</b>	<b>No</b>
Has the Candidate significantly breached the requirements of a regulatory body?	<b>Yes</b>	<b>No</b>
Has the Candidate failed to comply with the reasonable requests of a regulatory body resulting in a finding against the Candidate?	<b>Yes</b>	<b>No</b>
Has the Candidate been rebuked, reprimanded or received a warning about their conduct by a regulatory body?	<b>Yes</b>	<b>No</b>
Is the Candidate disqualified from being a charity trustee or a trustee for a charity under section 178(1) of the Charities Act 2011?	<b>Yes</b>	<b>No</b>
Has the Candidate been removed and/or disqualified as a company director?	<b>Yes</b>	<b>No</b>
Has the Candidate committed an offence under the Companies Act?	<b>Yes</b>	<b>No</b>
Is the Candidate currently facing any disciplinary proceeding(s) or investigation(s)?	<b>Yes</b>	<b>No</b>

**If the Candidate answers Yes to questions 5.2-5.8, they will need to provide, in addition to any specific evidence detailed above, the following general information and evidence relevant to the matters disclosed:**

- Credible references, where possible written in the knowledge of the matters reported. Credible references will generally be written in the knowledge of the matters reported by an independent person who knows the Candidate and their work well, such as a current or former employer or an academic tutor.
- Evidence of any rehabilitation that shows the Candidate has learnt from an experience or event, such as probation reports, references from employers or tutors.
- Documentary evidence in support of the Candidate's case and, where possible, an independent corroboration of the Candidate's account of the event.
- A statement from the Candidate including details of the event leading up to the matter disclosed and which reflects the Candidate's attitude towards the event.
- Proof that the Candidate has also disclosed the matter to any professional or other body to which the Candidate has an obligation to do so.
- Details of any ongoing disciplinary proceedings or investigations.

## Section 6 - Declaration

An individual manager of the Applicant Firm must complete this section. They must have authority from all other managers to make this declaration on behalf of the Applicant Firm.

Knowingly or recklessly giving false or misleading information, or failing to inform us of significant information could lead us to reject the application, revoke the authorisation of the Applicant Firm, 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 form 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 Candidate:

- 6.1 I confirm that I have read and understood the guidance
- 6.2 The information in this application about the Candidate is correct and complete to the best of my knowledge and belief
- 6.3 I confirm that I have the authority to make this application and the declarations on behalf of the Applicant Firm and the Candidate
- 6.4 I have obtained the necessary consents from the Candidate for you to disclose to the Applicant Firm the results of any checks and any documents held in respect of the Candidate
- 6.5 I confirm that I will notify you as soon as any information provided in this application changes
- 6.6 I confirm that the Applicant Firm believes, on the basis of due and diligent enquiry, that the Candidate is a fit and proper person

### COLP/COFA applications:

- 6.7 I confirm that the Candidate consents to their nomination

### Individual manager

Provide details of the individual manager making this declaration. If the Applicant Firm does not have any individual managers, a manager of a corporate manager can make this declaration.

Forename(s)	<input type="text"/>	Surname	<input type="text"/>		
Title	<input type="text"/>	Date of birth	<input type="text"/>	SRA no	<input type="text"/>
Role	<input type="text"/>	Email	<input type="text"/>	Date	<input type="text"/>

## Section 7 - Returning the form

Before you submit your application, check:

- 7.1 You have a Certificate of Good Standing from the Candidate's home jurisdiction to upload. It must have been issued no more than three months ago and be accompanied by an official translation if not issued in English. We will need an original certificate of attestation.
- 7.2 Or you have equivalent written confirmation from the approved regulator to upload if appropriate
- 7.3 You have also completed form FA10b, and obtained the results of a DBS check, if approvals under the Money Laundering Regulations is needed

**Once completed you must upload and submit this form via mySRA**

## Section 8 - What we will do with your data

### Privacy notice

The Solicitors Regulation Authority Limited (SRA) is the 'data controller' of the personal information we hold for the purposes of the UK General Data Protection Regulation (the UK GDPR) and the Data Protection Act 2018 (the Data Protection Act).

We collect, use and share data primarily in the exercise of our regulatory functions. More information about how we handle your data is available in our [Privacy Notice](#).