

Instructions

- Please provide a full answer to every question.
- A Partner/Director must sign and date this form and any separate sheets on behalf of the firm having consulted to ensure that the answers given are true and complete.
- Please include with this form a sheet of your current **HEADED NOTEPAPER**, which can also be used to supplement areas where you may have insufficient space to answer a question.
- S.R.A: The Solicitors Regulation Authority

1) Name and Address Details

Practice name Main Office S.R.A Registration Number

Main office address
 Post Code

Main office telephone number Main office fax number DX Number

Practice website Primary Contact Contact e-mail address

Date established Is your practice an LLP or a company registered with Companies House? Yes No

Do you have any other offices, other than the main office listed above, for which you are seeking cover? Yes No

If **Yes**, please list the addresses on a separate sheet. If there is no resident Principal/Member at these offices, please identify the office concerned and explain how the office is supervised.

2) Prior Practices

List, using a separate sheet if necessary, the names of all prior practices to which this practice has become a successor practice in the last 15 years and any names that the practice has previously traded as.

Name of Practice	Date Established	Date of Succession
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Have any of the listed practices reported claims or circumstances in the last 8 years? Yes No

If **Yes**, please provide copies of claims information from Qualifying Insurers or the Assigned Risk Pool for all circumstances and claims reported since 01/09/2001.

3) Solicitor Details

Provide all information requested for every Principal, Member, Assistant and Consultant who will be employed by your practice as at the inception date of the Policy. If anyone listed is a Registered Foreign Lawyer or Registered European Lawyer, please note RFL or REL alongside solicitor's status. If you are a newly established practice, please enclose Curriculum Vitae for every Principal/Member in your practice, your Business Plan and Cash Flow Statement.

Title	Solicitor's full name	Date of birth	Solicitor's status (Principal/Member/Assistant/Consultant)	Equity/ Non Equity	Office Location	Full/Part time	Roll number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please continue on separate sheet of paper

Non Solicitor Principals – Please provide all information for every non-solicitor principal, member or director as at the policy inception.

Title	Solicitor's full name	Date of birth	Roll (e.g. HR, IT, Finance, Barrister, Legal Executive, Licenced conveyancer etc.)	Fee Earner Yes/No	Full Time / Part time	Regulatory Body

Are any principals or other fee earners also principals, fee earners or employees of other law firms or businesses? Yes No
 If yes, please provide full details on a separate sheet.

4) Total Staff

Total number of Partner, Principals or Members

Total number of Assistants, Associates and Consultants

Number of non- solicitor fee earning staff including the Trainee Solicitors (Please state if None)

Number of all other staff, inc. Secretarial. (Please state if None)

5) Practice Fees

Please state the gross fees received for past financial year and estimates for current and forthcoming years emanating from:

	YEAR ENDING 2008	YEAR ENDING 2009	YEAR ENDING 2010 (EST)	ESTIMATE FOR 2011
A) England and Wales, excluding Fees declared in Section D below	£	£	£	£
B) USA and its territories and Possessions and/or Canada – State if none?	£	£	£	£
C) Elsewhere excluding USA and its territories and possessions and/or Canada (specify countries on a separate sheet)	£	£	£	£
D) England and Wales or elsewhere for persons, companies, firms or organisations domiciled in the USA or its territories and possessions and/or Canada – State if none? <i>Please provide full details of these clients, and indicate whether the work undertaken is UK, US or Canadian Law.</i>	£	£	£	£
TOTAL FEE INCOME	£	£	£	£

Please state average Gross Fees for the last 5 years

Is the Practice represented in any way in the USA or its territories and possessions and/or Canada? Yes No

If **Yes**, please provide details (e.g. local office, local representation or reciprocal client referral agreement)

6) Largest Clients and Client Types

Does any one client or group of clients generate 15% or more of your annual fees? Yes No

If **Yes**, please provide full details of the nature of your client's business, the work undertaken and the Gross Fees billed to each client on a separate sheet.

Please state percentage totalling 100% of gross fees arising from the categories of clients listed below:

Public Quoted Companies (Takeover & Merger & Share Issue work only) %

Merchant Banks, Finance Houses, Hire Purchases and Credit Sales and other concerns providing Finance (other than Building Societies) %

Property Developers or Property Investment Companies (including their commercial conveyancing) %

Sub- Prime Lenders %

Insurance Brokers, Insurance Companies, Underwriting Agencies and similar organisations (other than handling of claims under insurance policies) %

All other clients

%

Total

100 %

Has your Practice or any Prior Practice ever: (If **Yes** to any of the below questions, please provide details on a separate sheet)

Provided management services or investment advice to any entertainment clients or sporting professionals?

Yes No

Accepted instructions for any class actions or other group litigation?

Yes No

7) Areas of Practice

Please provide the percentage of gross fees allocated to each area of practice for the last financial year and prior financial year (prior financial year can be taken from last years proposal form) or, if a new practice, estimated percentages for the coming year.

Area of practice, Rounded to the nearest whole percentage	Last %	Prior %	Area of practice, Rounded to the nearest whole percentage	Last %	Prior %
1. Administering oaths, taking affidavits and notary public			21. Non-litigious work other than given in any other category (Please provide details)		
2. Agency Advocacy			22. Offices and Appointments		
3. Acting as an Arbitrator, Adjudicator or Mediator			23. Parliamentary Agency		
4. Children, Mental Health Tribunal and Welfare			24. Personal Injury – Claimant		
5. Commercial Litigation			25. Personal Injury – Defendant		
6. Commercial/Corporate Work (excluding work relating to Public Companies)			26. Probate and Estate Administration		
7. Conveyancing – Commercial			27. Property Selling, Valuations and Property Management		
8. Conveyancing – Residential			28. Town and Country Planning		
9. Criminal Law			If you indicate a percentage in any of the areas below, please provide full details on a separate sheet or for 29 please complete our FSA Questionnaire		
10. Debt collection (low risk not exceeding £10,000)			29. Financial Advice and Services Work – where the Firm has opted into regulation by the Financial Services Authority		
11. Debt Collection (high risk other than detailed above)			30. Commercial/Corporate Work for Public Companies		
12. Defendant litigious work for insurers			31. EC Competition Law and Human Rights Law		
13. Employment – contentious			32. Intellectual Property Work: including patent trademark or copyright		
14. Employment – non contentious			33. Marine Law – Litigious		
15. Financial Advice and Services Regulated by the S.R.A			34. Wills		
16. Immigration			35. Trusts		
17. Landlord and Tenant			36. Tax Planning		
18. Lecturing and Related Activities and Expert Witness work			37. E-commerce and/or Information Technology Work		
19. Litigious work other than given in any other Category (Please provide details)			38. Mergers and Acquisitions including Management Buy- outs and Buy-ins		
20. Matrimonial/Family			Total 100%		

8) Merger and Acquisition Work

Is all merger and acquisition work undertaken for UK companies?
(If **No**, please provide details on a separate sheet)

Not Applicable Yes No

Please specify the approximate number of transactions in the past year

Please specify the highest transaction value in the last 5 years

£

Please specify the average transaction value in the last 5 years

£

9) Financial Services Work

Has your Practice or any Prior Practice ever:

Undertaken any regulated activities as defined in the Financial Services and Markets Act 2000 or acted as an introducer in respect of such regulated activities?

Yes No

Undertaken work in relation to selling or advising on any mortgage endowment policies since 1st April 1991?

Yes No

In the last twelve months on how many occasions has your practice or any prior practice advised on Equity Release Plans?

If Yes, please complete the Financial Services Questionnaire

10) Personal Injury Work

Please specify the highest settlement on behalf of a claimant in the past 5 years

£

Please estimate the number of cases you currently have where the expected settlement exceeds that amount

Does the practice operate &/or offer Conditional Fee Arrangements?

Yes No

What percentage of Gross Fees billed is attributable to Conditional Fee Arrangements?

Current Year
 %

Past Year Ending
 %

Previous Year
 %

What percentage of such arrangements do you win and what is your average fee?

Average Fee

£

Current Year
 %

Past Year Ending
 %

Previous Year
 %

How many arrangements did you start?

Current Year

Past Year Ending

Previous Year

How many arrangements did you complete?

Current Year

Past Year Ending

Previous Year

Does one or more partner(s) agree to each CFA before it is offered to the client?

Yes No

Do you use a standard written assessment procedure before accepting such arrangements?

Yes No

Have any such arrangements been found to be unenforceable?
If **Yes** please provide full details

Yes No

What is the typical average and largest personal injury claimant settlement in the last 12 months?

Average £

Largest £

Please provide a percentage breakdown of the Gross Fees billed in respect of the following claimant Personal Injury work undertaken by the practice

Multi Track % No Win No Fee Claims % Small Claims %
 Fast Track % All other claims % (Please provide full details on a separate sheet)

Has the practice reviewed all Vibration White Finger, Bronchitis and Emphysema or other Industrial disease scheme cases and complied with scheme deadlines for logging claims? (If **No** please provide details on a separate sheet) Yes No

What percentage of your work do you undertake for After the Event Insurers?

What percentage of your work is backed by Legal Expenses Insurers?

Are you part of any work referral network, claims management or promotional group? Yes No

If **Yes** please provide the names of the companies and complete the attached Claims Management Questionnaire:

11) Conveyancing Work

Please provide details of the following:

Does the practice undertake Conveyancing instructions outside the local area? Yes No

Please state the number of fee earners in your firm who undertake or have undertaken conveyancing work.

	2007	2008	2009	2010
Partners, Directors, Members				
Solicitors				
Other qualified fee earners				
Non qualified fee earners				

Please fill in the below table in relation to *residential conveyancing*:

	Year end 07	Year end 08	Year end 09	Year end 10
Gross fees				
Approximate Number of Transactions				
Highest value				
Average value				
Percentage of transactions relating to remortgage work				

Please fill in the below table in relation to *commercial conveyancing*:

	Year end 10	Year end 09	Year end 08	Year end 07
Gross fees				
Approximate Number of Transactions				
Highest Value				
Average value				

In any of the last three years have more than 10% of your conveyancing instructions originated from any development or from any one client or referrer, e.g. a mortgage broker, developer, financial advisor, estate agent? If 'yes' please provide full details

Yes

No

Estimate what percentage of all your conveyancing instructions in each of the last three complete financial years relates to the purchase of buy to let properties?

- a) What identity checks do you carry out on conveyancing clients?
- b) How do you comply with lender requirements on verification of identity?

Over the last three years what safeguards have you had in place to ensure that any information indicative of mortgage fraud (eg back to back transactions, discounts, incentives) is:

- a) Identified; and
- b) Reported to lender clients

On approximately how many occasions in the last 12 months have you received requests for conveyancing files from lenders? Please provide full details including the name(s) of the lender(s).

Have you been suspended or removed from any lender panel in the last 12 month?
 If 'Yes' please provide full details including the name(s) of the lender(s).

Yes No

How do you ensure you establish the net price paid for a property when acting on behalf of the purchaser? i.e. incentives etc.

Does a partner directly supervise all residential conveyancing transactions undertaken by the firm and conduct file audits on residential conveyancing files including partner to Partner?

Yes No

If 'No' please provide details

12) Practising Certificate

In the past 10 years has any Principal or fee-earner in the practice:

- ever been refused a practising certificate? Yes No
- ever been granted a conditional practising certificate? Yes No
- been reprimanded, fined or otherwise sanctioned by the Solicitors Disciplinary Tribunal? Yes No
- had an award for inadequate professional service made against him or her by the Legal Complaints Service or the former CSS or OSS or entered into any regulatory settlement agreement? Yes No
- Practised in a firm subject to an investigation/intervention by the Law Society or S.R.A? (incl. LCS,OSS or CCS) Yes No
- had a civil or criminal judgment against him or her? (excluding traffic offences) Yes No
- been investigated by any regulatory body other than the Law Society or S.R.A (e.g. FSA, Council of Licensed Conveyancers, ILEX)? Yes No
- Has the firm been the subject of a monitoring visit from the Solicitors regulation Authority in the past three years? Yes No
- Has the firm been subject to a visit or enquiry from the Forensic Investigation Unit or Solicitors Regulation Authority in the past three years or has notice of a proposed visit or enquiry been given? Yes No

If **Yes**, please provide full details on a separate sheet and include a copy of all reports and relevant correspondence issued by the Legal Complaints Service, CCS, OSS, Forensic Investigation Unit, Disciplinary Tribunal and/or any other regulatory body.

13) Claims and Circumstances

Has your practice or any prior practice, reported any circumstances or claims to the Assigned Risks Pool or to Qualifying Insurers in the:

Insurance Year 2002 – 2003	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2003 – 2004	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2004 – 2005	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2005 – 2006	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2006 – 2007	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2007 – 2008	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2008 – 2009	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance Year 2008 – 2010 (current)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If Yes, to any of the above insurance years please provide with this form claims information from other Qualifying Insurers or the Assigned Risks Pool for all circumstances or claims reported since 01/09/2001 by your practice and any practice to which you are a successor practice.

Have any circumstances or claims reported by your practice or any prior practice in the past five years arisen as a result of the dishonesty of any principal, member or employee of the practice?

Yes No If **Yes**, please provide details of all incidents including how the matter was resolved and the procedures/processes in place to avoid re-occurrence.

After making full enquiry of all principals, members and employees in your practice, are you aware of any circumstances or claims that you have **not** reported to your current or any prior insurers?

Yes No If **Yes**, please explain on a separate sheet

Prior to the 2001/02 policy year has your practice or any prior practice, which you are deemed to be the successor to had any claims which have exceeded a total value including defence cost of £50,000? If so please provide full details.

Please note that you have an obligation under your current professional indemnity policy to notify these matters to your current insurer and we shall ask you to confirm that you have done so before cover can be put in place.

14) Risk Management

What Legal Services Commission Quality Mark or other quality standards e.g. LEXCEL or Investors in People, is your firm currently accredited with? Please Specify:

What date was the practice accredited with the Lexcel Quality Standard

Has a Legal Services Commission Quality Mark ever been withdrawn? If **Yes**, please provide full details.

Yes No

Does the practice hold any membership of any speciality Law Society group?

Yes No

If **Yes**, please specify:

Does the practice always obtain written references immediately preceding the engagement of an employee or Partner/ Member? If **No**, please provide details on a separate sheet

Yes No

Does the practice have a formal performance management system in place, which evaluates (at least annually) all solicitors and other legal staff? If **No**, please provide full details of the appraisal system

Yes No

Does the practice have a Management Structure in place?

Yes No

Does a designated Supervisor or Partner check all incoming post?

Yes No

Does the practice carry out regular audits/reviews on all active files? (Including Partners casework)

Yes No

Does the practice have a time recording system?

Yes No

Does the practice have a standard Quality Procedure in place which is regularly reviewed and circulated?

Yes No

Does the practice have documented procedures in place for Client vetting and identifying conflicts of interest?

Yes No

Does the practice have a designated individual responsible for either Risk Management and/or the handling of complaints and/or claims? If **No**, please explain responsibilities on a separate sheet

Yes No

Does the practice operate a centralised/departmental diary system with appropriate electronic/manual back up?

Yes No

Does the practice make regular checks to ensure that the diary system in which all key dates are entered is being adhered to and the system caters for absenteeism?

Yes No

Does the practice have and use a written retainer and engagement letter in accordance with the SRA code of conduct

Yes No

Please confirm that Partners/Supervisors monitor and/or authorise the giving of all solicitors' undertakings and these are always confirmed in writing and recorded on file.

Yes No

Do you have a formal money laundering policy, and has training been provided to all Partners and Staff?

Yes No

If **No**, please provide full details on a separate sheet

Has there been any change to the internal management structure of the practice in the past 3 years?

Yes No

If **Yes**, please provide details on a separate sheet

What is the average number of files per Fee Earner?

How often is the client account taken to trial balance?

Please provide full details of the safeguards in place of the signing of cheques issued by the practice:

In the last 6 years has the Law Society qualified the Practices accounts or has the practice subject of an inquiry/investigation as a result of a breach of the Solicitors Accounts Rules? If **Yes**, please provide details on a separate sheet

Yes No

Does the practice always receive written confirmation when money is transferred electronically?

Yes No

If **No**, please provide full details on a separate sheet

Does the practice provide legal services via the Internet or transact business via Internet forums?

Yes No

Does the practice have an email or Internet security policy?

Yes No

If **No**, please provide full details on a separate sheet

By signing this form you are confirming that you have read and accepted the information and terms set out above. Where the information referred to relates to other individuals (for example other people covered by a policy) you are also confirming that you are authorised by them to confirm acceptance on their behalf.

We declare that to the best of our knowledge or belief that the particulars and statements given in this application are true and complete and this application, declaration and information shall be the basis of the contract between ourselves and the insurer.

IMPORTANT NOTICE CONCERNING DISCLOSURE

It is your duty to disclose all material facts to Underwriters. A material fact is one that is likely to influence an Underwriter's judgement and acceptance of your proposal. If your proposal is a renewal of an existing policy, it should also include any change in facts previously advised to Underwriters. If you are in any doubt as to whether or not facts are considered material, you should disclose them.

I/We declare on behalf of the firm(s) that the statements and particulars in this declaration are true and that I/We have not mis-stated nor suppressed any material facts. I/We agree that this declaration, together with any other information supplied by me/us, shall form the basis of any Contract of Insurance effected thereon. I/We undertake to inform Insurers of any material alteration to these facts occurring before completion of the Contract of Insurance.

We accept that any deliberate misrepresentation of facts declared on this proposal form may be referred to The Legal Complaints Service.

**Signature
of Partner/
Director/
Member**

Date

Print Name

20) Document Checklist

Before posting please ensure that you have included the following documents:

- This form fully completed, signed and dated.
- A sheet of your firm's current **HEADED NOTEPAPER**, crossed 'L&E'

And, if applicable, please provide the following:

- Full details for all circumstances, incidents or claims reported to Qualifying Insurers or the Assigned Risks Pool by your firm and any firm to which you are a Successor practice.
- If you are a newly established practice, a Curriculum Vitae for every Partner of the firm and a business plan (including cash flow forecast).
- A copy of all reports issued by the Legal Complaints Service or the former CSS or OSS, Solicitors Disciplinary Tribunal, Forensic Investigation Unit and/or any other regulatory body.

Contact Details for The Solicitors Team

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