

Firm closure notification



Use this form to tell us that your firm:

- is closing or ceasing to provide legal services
- no longer needs to be authorised
- is ceasing because of an acquisition or merger with another authorised body.

You should submit this form no more than seven days before you intend to close.

Section 1 - Closure details

1.1 Firm name SRA number

1.2 Closure date

1.3 Why is your firm closing?

| | |
|-------------------|-------------------------------|
| Retirement | Difficulty obtaining PII |
| Ill health | Merger or acquisition |
| Financial reasons | Other (provide details below) |

Give a brief summary below of the circumstances leading to the closure

1.4 Has the firm provided legal services or carried out reserved legal activities? **Yes** **No**

If **No**, you do not need to fill in sections 2-6 of this form

Merger or acquisition details

Fill in the rest of this section if your firm is ceasing because it is merging with, or has been acquired by another firm.

Merger

The authorisation of two or more firms ends and the businesses come together to form a new firm. If you're merging into a new firm, you need to apply for authorisation before you start. You can find the forms and guidance on our [website](#).

Acquisition

A firm's authorisation ends and the business is acquired by, or amalgamates with, one or more existing firms

1.5 Is it a merger or acquisition?

Merger

Acquisition

1.6 Date

1.7 Briefly describe the merger or acquisition

1.8 Provide details of the acquiring, or new, firm(s)

Firm name

SRA no

Contact

SRA no

Firm name

SRA no

Contact

SRA no

We will contact these firms to verify the information provided

Section 2 - Professional indemnity insurance

You must make sure that your firm's professional indemnity insurance cover continues after it closes, unless your firm is exempt or has a waiver.

2.1 Does the firm have a waiver, or an exemption, from the requirement to hold professional indemnity insurance?

Yes

No

If **Yes**, you do not need to answer the rest of the questions in this section.

2.2 How will your firm be insured after it closes?

Run-off cover

Successor practice

Run-off cover

2.3 Participating insurer

2.4 Policy number

2.5 Have you paid the run-off premium?

Yes

No

You must send with this form, evidence that you have paid the premium. This could be:

- A policy certificate which states that it has been issued on receipt of payment of the premium.
- Written confirmation from your insurer or broker that the premium has been paid.
- A quotation, policy documents or invoice along with evidence of payment such as a bank statement or evidence of bank transfer.

Successor practice

2.6 Firm name

SRA no

Contact

SRA no

We will contact the successor practice to verify this.

Section 3 - Informing your clients

You must tell all your clients that you are closing so that they can choose a firm to deal with their matter. Your clients must consent for you to transfer their property or money to another firm.

3.1 Have you transferred all live files to other firms/returned them to clients?

Yes

No

3.2 If **No**, how many live files do you have?

3.3 What are you going to do with your live files?

3.4 Did your clients consent for you to transfer files to other firms?

Yes

No

3.5 Do you have any undertakings?

Yes

No

3.6 If **Yes**, how many?

3.7 How will you satisfy the undertakings?

Section 4 - Client money

You must deal promptly with any money remaining in your client account(s), or any money you receive after your firm has closed.

4.1 Has your firm ever held client money? **Yes** **No**

If **No**, you do not need to answer the rest of the questions in this section.

4.2 Is there still money in your client account(s)? **Yes** **No**

If **No**, skip to question 4.12

4.3 What is the total balance of your client account(s)?

4.4 When do you estimate the client account(s) will reach a final nil balance?
(MM/YYYY)

Closed matter balances

4.5 Do you have any closed matter balances? **Yes** **No**

If **No**, you do not need to answer the rest of the questions in this section.

4.6 How much of the total balance in your account(s) relates to closed matters?

4.7 How much is the largest individual closed matter balance?

If you can't return balances to to rightful owner(s), you need our written authorisation to withdraw it. Contact Professional Ethics for guidance.

4.8 How are you going to distribute closed matter balances? **Then go to Section 5**

Ceasing to hold

4.9 Do you expect to receive more client money? **Yes** **No**

If **No**, go to question 4.11.

4.10 When do you estimate the client account(s) will reach a final nil balance?
(MM/YYYY) **Then go to Section 5**

4.11 When did the client account(s) reach a final nil balance?

You must send with this form, evidence that you no longer hold any client money, e.g. bank statements.

Section 5 - Client documents and closed files

If you hold files and other documents for former clients, you will need to tell us what you are doing with them. If you don't hold any, put '0' below and skip to the next section of the form.

5.1 How many wills and/or deeds does your firm hold?

5.2 How many closed files does your firm hold?

5.3 Tell us what you are doing with wills, deeds and closed files. Tick all that apply below

Wills and deeds **Closed files**

Giving to clients

Using a storage provider

Storing at another firm

Storing electronically

Destroying files

Other

Storage provider(s)

If you have told us that you are using a storage provider, provide the information below.

5.4 Provider name

Email

Phone

5.5 What payment arrangements have been made for ongoing storage?

You must send, with this form, evidence that you have made arrangements to pay for ongoing storage

Storing at another firm

5.6 Firm name

SRA no

5.7 Do you have client consent to transfer files here? **Yes** **No**

Storing electronically

5.8 Tell us more if you are storing files and documents electronically

Other storage

5.9 Tell us more if you ticked 'Other' on the previous page

Section 6 - Contact details

You must provide contact details of a manager who worked at your firm that we can give to clients who want access to thier files or documents.

6.1 Contact name

SRA no

6.2 Post

6.3 Email

6.4 Phone

6.5 How would the contact prefer to be contacted?

Email

Phone

Section 7 - Your authorisation

As your firm is no longer providing legal services, we need to end its authorisation. We may revoke authorisation under the SRA Authorisation of Firms Rules if a firm no longer intends to deliver legal services or if we consider it in the public interest to do so.

Sole practices

Your firm's authorisation ends if you stop practising. We will need to revoke your authorisation if you will carry on practising but not as a sole practice, for example if you will continue as an SRA-regulated freelancer.

7.1 Do you want us to revoke your firm's authorisation? **Yes** **No**

Partnerships

If your firm no longer exists because the partnership has dissolved or wound up, authorisation ends automatically. Otherwise you should ask us to revoke authorisation.

7.2 Will the partnership continue to exist after it has stopped providing legal services? **Yes** **No**

7.3 When did the partnership dissolve? (DD/MM/YYYY)

7.4 Do you want us to revoke your firm's authorisation? **Yes** **No**

Limited companies and LLPs

7.5 Do you want us to revoke your firm's authorisation? **Yes** **No**

7.6 Do you plan to dissolve the company/LLP at Companies House? **Yes** **No**

Section 8 - Declaration

This section must be completed by the firm's COLP or an individual manager

In providing this information on behalf of the closed/closing firm, I confirm that:

- the information provided is correct and complete to the best of my knowledge and belief, and
- I have the authority to provide this information on behalf of the firm and all of its managers

8.1 **I have read and understood the declaration**

8.2 Forename(s) Surname

8.3 SRA no Date of birth

8.4 Date

Section 9 - Returning the form

To help us process your application, check that you have completed all relevant sections and that the form declaration has been completed correctly.

Section 10 - What we will do with your data

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