

FA9 - Third Party Managed Accounts Notification (TPMA)

This form is to notify the SRA of use of a TPMA

We will update our records to show that you are using a TPMA. If you use the same TPMA provider for several clients, and plan to continue using the same provider with future clients, you only need to inform us the first time you use that TPMA provider.

If you choose to engage more than one TPMA provider, you need to notify us of all the providers with whom you enter an arrangement. If you switch between TPMA providers, or stop using the one, you need to tell us by using this form.

This notification form is an editable PDF which you must save on your computer before and after completion to capture your data. This form is not compatible with Mac computers, and data will not be stored correctly. You must complete the form using a Windows based computer. In addition, the PDF notification must be created with Adobe PDF, alternative formats will not be accepted.

Section 1 - Firm details

Name of authorised body:

Firm SRA number:

Section 2 - TPMA Provider details

Name of TPMA Provider:

Provider's FCA number:

Date on which you plan to start using a TPMA:

Section 3 - Confirm you no longer use a TPMA

You only need to complete this section if you are ceasing to use a TPMA provider.

Name of TPMA Provider:

Provider's FCA number:

Date on which you plan to end using a TPMA:

Section 4 - How to tell us

Please return the form by email to: notifications@sra.org.uk. Please include TPMA Notification in the subject title.

Section 5 - How we use your data

Privacy notice

The Law Society is the data controller of the personal information we collect. We are the independent, regulatory arm of the Law Society, and operate separately from it.

The Legal Services Act 2007 (the Act) makes it an offence for any “person” to provide reserved legal activities unless authorised by a legal services regulator, such as the SRA, to do so. Also, under the Administration of Justice Act 1985, we authorise firms as suitable to provide solicitor services.

The personal data provided in this form is used to update our records, conduct relevant checks and contact individuals where required for regulatory purposes.

Further details regarding your rights under data protection legislation and how your information is used can be found here: <https://www.sra.org.uk/dpa/>