

# New Solicitor Questionnaire

Name of New Principal, Consultant, Employee:

Date of Birth:  Full Time/Part Time:  Roll Number:

1. Have you ever:
- i) been refused a practising certificate?  Yes  No
  - ii) been granted a conditional practising certificate?  Yes  No
  - iii) been fined or reprimanded or otherwise sanctioned or been the subject of a costs or penalty order by the Solicitors' Disciplinary Tribunal?  Yes  No
  - iv) practised in a Practice that has been subject to an investigation or intervention by any regulatory department of the Law Society or Solicitors Regulation Authority including the Office for the Supervision of Solicitors (OSS), the Consumer Complaints Service (CCS), the Legal Complaints Service (LCS) or the Legal Ombudsman (LeO)?  Yes  No
  - v) been investigated by any other regulatory body other than the Law Society or SRA (e.g. FSA, Council of Licensed Conveyancers or ILEX)?  Yes  No
  - vi) had a civil or criminal judgement (other than minor traffic offences) against you?  Yes  No
  - vii) had an award for inadequate professional service made against you by the OSS/CCS/LCS/LeO or entered into any regulatory settlement agreement with the SRA?  Yes  No
  - viii) In the last ten years been declared bankrupt whether voluntarily or involuntarily  Yes  No

If 'YES', to any of the above, please provide details on a separate sheet of headed notepaper and include a copy of all reports issued by the SDT, LeO former LCS, OSS or CCS and/or any other regulatory body.

2. Please provide a full C.V. and state below the reasons for leaving your former practice.

3. Have you had:
- i) any claim or claims made against you in the last six years as a result of or arising from any work you have carried out whilst in the present or any previous firm or firms?  Yes  No
  - ii) any circumstances, allegations, contentions or shortcomings, including any criticism of any work even though regarded by you as unjustified about any incident in the last six years, which has or may result in any claim being made against the present or any previous firm or any employees who would have been the subject of your supervision?  Yes  No
- If 'YES', to 3(i) or (ii) above, please advise brief description of matter(s) and quantum if known.

Description of Incident	Date of Claim/Discovery	Quantum
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4. Does your joining the firm create a "successor practice" as per the definition detailed within the Law Society's Minimum Terms and Conditions.  Yes  No
- If 'YES', please attach a copy of your firm's most recent proposal form and Claims print out of all Claims and Circumstances since 1<sup>st</sup> September 2000.

Signature:  Print Name:  Date:

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