

Outcomes agreed with firms or individuals

Regulatory settlement agreements

We can reach an agreement to conclude disciplinary proceedings in whole or in part (by bringing to an end our consideration of one or more allegations). We do so when the firm or individual we regulate is prepared to accept that they have breached our Standards and Regulations and, where appropriate, are prepared to put the matter right.

RSAs allow us to protect both consumers and the public interest by reaching appropriate outcomes swiftly, efficiently and at proportionate cost. We normally publish RSAs in full on our website so that the consumer can understand the reason for the outcome.

For example, the firm or individual that we are investigating may agree to

- a [sanction](https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/) [https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/], such as a [fine](https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/#fine) [https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/#fine] or a [rebuke](https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/#rebuke) [https://upgrade.sra.org.uk/consumers/solicitor-check/sanctions/#rebuke]
- arranging changes to their management or supervision controls so that the breach doesn't happen again
- apologise to those affected by the breach of our [Principles](https://upgrade.sra.org.uk/consumers/who-we-are/sra-regulate/#principles) [https://upgrade.sra.org.uk/consumers/who-we-are/sra-regulate/#principles], or
- return money to [clients](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#client) [https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#client] who have been affected.

For more detail about our approach to regulatory settlement agreements, read [our](https://upgrade.sra.org.uk/sra/decision-making/guidance/disciplinary-regulatory-settlement-agreements/) [https://upgrade.sra.org.uk/sra/decision-making/guidance/disciplinary-regulatory-settlement-agreements/] [guidance](https://upgrade.sra.org.uk/sra/decision-making/guidance/disciplinary-regulatory-settlement-agreements/) [https://upgrade.sra.org.uk/sra/decision-making/guidance/disciplinary-regulatory-settlement-agreements/].

Important notes

Not all regulatory decisions are published—read more about [our approach to publication](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) [https://upgrade.sra.org.uk/consumers/solicitor-check/policy/].

Only decisions made since early 2008 are published on this site. Most decisions remain on the site for three years.

For the most up-to-date and complete picture of an individual's regulatory record, please [contact us](https://upgrade.sra.org.uk/home/contact-us/) [https://upgrade.sra.org.uk/home/contact-us/].

Read more about [how we regulate](https://upgrade.sra.org.uk/consumers/who-we-are/sra-regulate/) [https://upgrade.sra.org.uk/consumers/who-we-are/sra-regulate/].

