

Approval denied

Without our prior approval,

- non-lawyers cannot be [managers](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager) of [firms](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm) that we regulate,
- [solicitors](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) cannot practice on their own account as [sole practitioners](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner) providing [legal services](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services), and
- firms that we regulate cannot provide legal services.

This means that, if we need to take regulatory action against non-lawyer managers, sole practitioners, or firms, we can decide to withdraw our approval and prevent them from working in the way they previously did. We may publish such decisions.

Decisions of this type are listed and explained below. A summary of the reasons for our decision is part of the record of each decision.

Withdraw approval of non-lawyer manager

Non-lawyers are allowed to be [managers](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#manager) or owners of the [firms](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm) we regulate. However, the firm must first obtain our approval. We only approve if we are satisfied that the proposed manager or owner and the firm meet certain criteria, set out in [rule 13 of the SRA Authorisation of Firm Rules](https://upgrade.sra.org.uk/solicitors/handbook/recognisedbodyregs/part1/rule5/content) [\[https://upgrade.sra.org.uk/solicitors/handbook/recognisedbodyregs/part1/rule5/content\]](https://upgrade.sra.org.uk/solicitors/handbook/recognisedbodyregs/part1/rule5/content). If we decide to withdraw approval, we [may publish](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) this decision.

Authorisation revoked - recognised sole practitioner

[Solicitors](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) and [registered European lawyers](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) are able to practice on their own account as a [sole practitioner](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#sole-practitioner). Before they can do so, they need authorisation from us to enable them to provide [legal services](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services).



[services](#)]. We may decide to revoke someone's authorisation. If we do so, we [may publish](#) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) this decision.

Revocation of recognition - recognised bodies

[Firms](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#firm) need to be [recognised](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#recognised\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#recognised) by us each year. This enables them to provide [legal services](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services). We may decide to [revoke](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#revocation\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#revocation) recognition during the year. If we do so, we [may publish](#) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) this decision. If recognition has been revoked, it does not have our permission to provide legal services.

Suspension of PC/registration

It is possible for a [solicitor's](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) [practising certificate \(PC\)](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc) or registration of [registered European lawyers \(REs\)](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) or [registered foreign lawyers \(RFLs\)](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl) to be suspended, either by us or the Solicitors Disciplinary [Tribunal](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#tribunal\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#tribunal) (SDT). This means the person is not entitled to practise as a solicitor while their suspension continues. Sometimes suspensions occur automatically, for example if a solicitor is [bankrupt](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#bankrupt\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#bankrupt).

If the published regulatory decision to suspend a solicitor's PC or registration has been followed by a decision marked "termination of suspension of PC/registration", it means they are no longer suspended. However, because [not all decisions are published](#) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/), you should [contact us](#) [\[https://upgrade.sra.org.uk/home/contact-us/\]](https://upgrade.sra.org.uk/home/contact-us/) for a more complete picture of the individual's regulatory record.

Termination of suspension of PC/registration

If we or the Solicitors Disciplinary [Tribunal](#) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#tribunal\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#tribunal)



have suspended the [practising certificate \(PC\)](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc) of a [solicitor](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor), or the registration of a [registered European lawyer \(REL\)](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) or [registered foreign lawyer \(RFL\)](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl), they are not permitted to work as a solicitor REL or RFL. They can apply to have the suspension lifted. If we agree to lift the suspension, then we [may publish](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) the decision "termination of suspension of PC/registration".

If you are looking at an individual's regulatory record and a decision to suspend a PC or registration has not been followed with a decision to terminate the suspension, you should [contact us](https://upgrade.sra.org.uk/home/contact-us/) [\[https://upgrade.sra.org.uk/home/contact-us/\]](https://upgrade.sra.org.uk/home/contact-us/) to find out whether the suspension is still in force, as not all decisions are published.

Refusal to grant PC/Registration

[Solicitors](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#solicitor), [registered European lawyers](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rel) and [registered foreign lawyers](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#rfl) have to apply to us for their [practising certificate \(PC\)](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#pc) or registration in order to be able to provide [legal services](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#legal-services). If they do not meet our requirements, we may refuse to grant a practising certificate or registration. This may be because they do not have the required qualifications, they have a criminal record, or they have been declared [bankrupt](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#bankrupt) [\[https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#bankrupt\]](https://upgrade.sra.org.uk/consumers/using-solicitor/legal-jargon-explained#bankrupt). We [may publish](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) [\[https://upgrade.sra.org.uk/consumers/solicitor-check/policy/\]](https://upgrade.sra.org.uk/consumers/solicitor-check/policy/) the decision to refuse to grant a PC or registration.

Important notes

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