

# QLTS - Character and Suitability



## This Application is for early consideration of your character and suitability before sitting the Qualified Lawyers Transfer Scheme (QLTS) Assessment

The Solicitors Regulation Authority (SRA) has a statutory duty to consider the character and suitability of anyone who wishes to enter the profession, and must ensure that any individual admitted as a solicitor has, and maintains the level of honesty, integrity and professionalism expected by the public, and does not pose a risk to the public or profession.

If you are concerned that we will refuse you admission based on a character and suitability matter, you may under the provisions in regulation 7.3 of the Qualified Lawyers Transfer Scheme Regulation 2011, apply to us for an early assessment of your character and suitability before you incur the financial expense and time required to undertake the QLTS assessment.

The purpose of this early assessment is to decide **if you were to apply at this time** to be admitted to the roll, would you satisfy us as to your character and suitability as required by Regulation 2 of the SRA Qualified Lawyers Transfer Scheme Regulations 2011.

If you submit this application you will be subject to a full character and suitability assessment which could take up to six months for us to complete.

In order to be admitted under the QLTS, you must satisfy the following requirements:

- (1) be a qualified lawyer in a jurisdiction that we recognise; ([www.sra.org.uk/solicitors/qlts/recognised-jurisdictions.page](http://www.sra.org.uk/solicitors/qlts/recognised-jurisdictions.page)).
- (2) meet our requirements for character and suitability; and ([www.sra.org.uk/solicitors/handbook/suitabilitytest/content.page](http://www.sra.org.uk/solicitors/handbook/suitabilitytest/content.page)).
- (3) must pass the QLTS assessments ([www.sra.org.uk/solicitors/qlts/assessment-organisation.page](http://www.sra.org.uk/solicitors/qlts/assessment-organisation.page)).

These requirements are verified by us when you apply for admission to the roll. You must meet the requirements of the SRA Suitability Test 2011, so your character and suitability will always be assessed when you apply for admission.

You may wish to take into consideration Section 8 of the Suitability Test, which provides further detail on rehabilitation in relation to matters declared under the Test.

### Possible outcomes of making this early application are:

1. If our decision is that you do satisfy us as to your character and suitability if you were to apply at this time to be admitted to the roll, then you will be under a continuing regulation obligation to report to us all further matters which relate to your character and suitability.
2. If our decision is that you do not satisfy us as to your character and suitability if you were to apply at this time to be admitted to the roll, you will have up to one month to appeal the decision.
  - a. If your appeal is refused, then you may make up to three further applications for an early assessment but not until 12 months have elapsed since the date of our latest decision.

You do not need to meet our requirements for character and suitability as a condition of being able to sit the QLTS assessment, but if you decide to apply for early consideration, you need to take the above timescales into account.

If you need any help completing this form after reading the guidance contained within it, together with guidance on our website, please contact us by telephone on 0370 606 2555. If you are calling from overseas please use +44 (0) 121 329 6800. Our lines are open Monday, Wednesday, Thursday and Friday: 08.00 to 18.00, Tuesday: 09.30 to 18.00. Please note calls may be monitored/recorded for training purposes. Alternatively you can email us at [contactcentre@sra.org.uk](mailto:contactcentre@sra.org.uk).

### 1. Personal details

Please complete all the boxes in this section and ensure that the name which you provide is the same as it appears on the register of your home Bar(s)/Law Society.

Surname	<input type="text"/>		
Forename(s)	<input type="text"/>		
Title (for example Mr/Mrs/Miss etc)	<input type="text"/>	Date of birth	<input type="text"/>
Nationality	<input type="text"/>	SRA number (if applicable)	<input type="text"/>
Second (Dual) Nationality (if applicable)	<input type="text"/>		

### 2. Contact address

Please complete all the boxes in this section.

Address	<input type="text"/>
	<input type="text"/>
Town	<input type="text"/>
County	<input type="text"/>
Postcode	<input type="text"/>
Country	<input type="text"/>
Email address	<input type="text"/>
Telephone	<input type="text"/>

### 3. Details of home jurisdiction(s)

Name and address of the Law Society or Bar of the jurisdiction in which you are admitted.

#### Jurisdiction on which your application is based

Professional title in this jurisdiction

Name of Law Society or Bar

Address of Law Society or Bar

Date of qualification

Registration number

#### Other jurisdictions

Professional title in this jurisdiction

Name of Law Society or Bar

Address of Law Society or Bar

Date of qualification

Registration number

**Please attach an original Certificate of Good Standing for each jurisdiction with which you have been registered.**

The certificate must have been issued no more than three months prior to submission of this application. Please provide a translation of your certificate if it is not issued in English.

#### 4. The Suitability Test

This section must be completed **in full** if you wish to be admitted as a solicitor in England & Wales:

The SRA has a responsibility under the Solicitors Act 1974 to ensure that there are no issues, which could call into question your character and suitability as a solicitor.

ALL APPLICANTS MUST ANSWER THE FOLLOWING QUESTIONS (please tick where appropriate).

Please note convictions which are “spent” under the Rehabilitation of Offenders Act 1974 must be disclosed by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.

##### **Criminal offences**

Refer to Section 1 of the Suitability Test.

**All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.**

I have read and understood this statement

##### **1 Have you ever been convicted by a court of a criminal offence:**

- (i) for which you received a custodial or suspended sentence;
- (ii) involving dishonesty, fraud, perjury and/or bribery;
- (iii) specifically in relation to which you have been included on the Violent and Sex Offender Register;
- (iv) associated with obstructing the course of justice;
- (v) which demonstrated behaviour showing signs of discrimination towards others;
- (vi) associated with terrorism;
- (vii) which was racially aggravated;
- (viii) which was motivated by any of the ‘protected’ characteristics defined within the Equality Act 2010; and/or
- (ix) more than one criminal offence?

Yes

No

**If you answered ‘Yes’, we will refuse your application unless there are exceptional circumstances.**

##### **2 Have you ever:**

- (i) been convicted by a court of a criminal offence not falling within 1 above;
- (ii) been included on the Violent and Sex Offender Register but in relation to your inclusion on the Register, you have not been convicted by a court of a criminal offence; and/or
- (iii) accepted a caution for an offence involving dishonesty?

Yes

No

**If you answered ‘Yes’, we are more likely than not to refuse your application unless there are exceptional circumstances.**

##### **3 Have you ever:**

- (i) received a local warning from the police;
- (ii) accepted a caution from the police for an offence not involving dishonesty;
- (iii) received a Penalty Notice for Disorder (PND) from the police;
- (iv) received a final warning or reprimand from the police (youths only); and/or
- (v) received a referral order from the courts (youths only)?

Yes

No

**If you answered 'Yes', we may refuse your application.**

Are you currently facing any criminal charges?

Yes

No

If you answered 'Yes', you must disclose the details of the charge(s). We will not determine your application until you can confirm that the charge(s) has/have either been dropped or the outcome of your case is known.

**Evidence and rehabilitation**

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'Yes' to any of the questions 1 to 3 you must provide:

- A A full statement of the events, providing a detailed sequence of events leading up to the offence(s) being disclosed, including any mitigating circumstances which are relevant. Please note that section 7 of the Suitability Test asks for your attitude towards the events.
- B References from at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well and are familiar with the events being considered. Please note referees must not be personal friends or family members.
- C Any evidence of rehabilitation.
- D Documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s).
- E If you were fined, evidence of payment of fine(s). Reports can be obtained from the Court.
- F We may deem it necessary for you to obtain a criminal records check as part of your application. If we consider a criminal records check is required you will be contacted in due course with details of the process.

The onus is on you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

**Assessment offences**

Refer to Section 4 of the Suitability Test.

**All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.**

I have read and understood this statement

- 4 Have you ever committed and/or been adjudged by an education establishment to have committed a deliberate assessment offence which amounts to plagiarism or cheating to gain advantage for yourself or others?**

Yes

No

**If you answered 'Yes', we will refuse your application unless there are exceptional circumstances.**

### Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'Yes' to question 4 you must provide:

- A A full statement of the event(s), setting out:
  - any exceptional circumstances,
  - the extent to which you were aware of the rules and procedures governing the reference of material or the use of group work or collaborative material, and
  - the extent to which you could reasonably have been expected to realise that the offence did not constitute legitimate academic practice.
- B At least one independent report relating to the event(s) from the University or course provider, such as minutes from meetings or hearings.
- C References from at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well, are familiar with the events being considered. Please note referees must not be personal friends or family members.
- D Documentary evidence in support of your case and where possible an independent corroboration of your account of the event(s).

The onus is on you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

### Financial behaviour

Refer to Section 5 of the Suitability Test.

**All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.**

I have read and understood this statement

**5 Have you ever been declared bankrupt, entered into any Individual Voluntary Arrangements (IVA's) or have had a County Court Judgment (CCJ) issued against you?**

Yes  No

If you answered 'Yes' to question 5, it will raise a presumption that you cannot manage your finances properly and carefully, and we will refuse your application unless there are exceptional circumstances.

### Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'Yes' to question 5 you must provide:

- A A full statement of the event(s), setting out any exceptional circumstances.
- B At least one independent report relating to the event(s), to include paperwork from the court relating to your hearing, with dates, court reference numbers and the outcome.
- C References from at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well and are familiar with the events being considered. Please note referees must not be personal friends or family members.
- D A credit report, no more than one month old at the date you make this application, through Experian or Equifax.
- E Independent evidence of actions you have taken to clear any debts, satisfy any judgments, and manage your finances.

The onus is on you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

## Regulatory history

Refer to Section 6 of the Suitability Test.

**All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.**

I have read and understood this statement

### 6 Have you ever:

- (i) been made the subject of a disciplinary finding, sanction or action by a regulatory body and/or any court or other body hearing appeals in relation to disciplinary or regulatory findings;
- (ii) failed to disclose information to a regulatory body when required to do so, or provided false or misleading information;
- (iii) breached the requirements of a regulatory body;
- (iv) been refused registration by a regulatory body; and/or
- (v) failed to comply with the requests of a regulatory body?

Yes  No

**If you answered 'Yes', we will refuse your application unless there are exceptional circumstances.**

### 7 Have you ever been rebuked or reprimanded by, or received a warning about your conduct from a regulatory body?

Yes  No

**If you answered 'Yes', we may refuse your application unless there are exceptional circumstances.**

### 8 Are you currently facing any disciplinary proceeding(s) or investigation(s)?

Yes  No

If you answered 'Yes', you must disclose details of the matter(s). We will not determine your application until you can confirm that the matter(s) has/have either been dropped or the outcome is known.

## Evidence and rehabilitation

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'Yes' to questions 6, 7 and/or 8 you must provide:

- A A full statement of the event(s), setting out any exceptional circumstances.
- B At least one independent report relating to the event(s), to include documentation from the regulatory/professional body, minutes from hearings and meetings, confirmation of outcomes(s), appeal details (if relevant) and any sanctions.
- C References from at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well and are familiar with the events being considered. Please note referees must not be personal friends or family members.
- D Independent evidence of actions you have taken to satisfy any findings and/or sanctions.

The onus is on you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.

### **Any other behaviour**

Refer to Section 3 of the Suitability Test.

**All material information relating to your application must be disclosed. Failure to disclose material information will be treated as prima facie evidence of dishonest behaviour. You must disclose any matters that have occurred in the UK and/or overseas.**

I have read and understood this statement

**9 Are there any other factors which may call into question your character and suitability?**

Yes

No

**Unless there are exceptional circumstances we will refuse your application if you have:**

- (i) been responsible for behaviour:
  - (a) which is dishonest;
  - (b) which is violent;
  - (c) where there is evidence of discrimination towards others;
- (ii) misused your position to obtain pecuniary advantage;
- (iii) misused your position of trust in relation to vulnerable people; and/or
- (iv) been responsible for other forms of behaviour which demonstrate that you cannot be relied upon to discharge your regulatory duties.

### **Evidence and rehabilitation**

Refer to Sections 7 and 8 of the Suitability Test.

If you have answered 'Yes' to question 9 you must provide:

- A A full statement of the event(s), setting out any exceptional circumstances.
- B At least one independent report relating to the event(s).
- C References from at least two independent professional people (of which one should preferably be from an employer or tutor) who know you well and are familiar with the events being considered. Please note referees must not be personal friends or family members.

The onus is on you to provide any evidence you consider necessary and/or appropriate. However, should we consider that you have provided insufficient evidence, we reserve the right to carry out our own investigation and/or refuse your application if further evidence is not forthcoming.



## 5. Details of referees

To be completed only if you have answered 'Yes' to any question (1-9) in section 4, *The Suitability Test*.

Supply the details of two referees you intend to use in support of your application. These referees should have knowledge of the above and have given their consent to be contacted on your behalf. Applicants are advised to attach their references to this application.

A referee should be someone who:

- Holds or has held a position of responsibility or is accustomed to providing references; and
- Has agreed to act as a referee on your behalf.

If you intend to use an educational referee, the SRA would expect the person to have known you for at least 12 months and taught you within the last three years. Please exclude temporary or short term employment for a period of less than six months. **Note: references from personal friends or family members are not permitted.**

### First referee

Surname	<input type="text"/>	Title (Mr/Mrs etc.)	<input type="text"/>
Initials	<input type="text"/>	Occupation	<input type="text"/>
Address	<input type="text"/>		
Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Daytime Telephone No	<input type="text"/>		
In what capacity do you know the referee?	<input type="text"/>		

### Second referee

Surname	<input type="text"/>	Title (Mr/Mrs etc.)	<input type="text"/>
Initials	<input type="text"/>	Occupation	<input type="text"/>
Address	<input type="text"/>		
Town	<input type="text"/>		
County	<input type="text"/>		
Country	<input type="text"/>	Postcode	<input type="text"/>
Daytime Telephone No	<input type="text"/>		
In what capacity do you know the referee?	<input type="text"/>		

## 6. Declaration

**This declaration must be completed in all cases.**

Knowingly or recklessly giving us information which is false or misleading, or failing to inform us of materially significant information, may lead us to take disciplinary action against you.

I confirm that:

1. I am the individual named on this application.
2. I understand that you may make such enquiries and seek information as it considers appropriate in the course of verifying the information given in this form.
3. The information in this application is accurate and complete to the best of my knowledge and belief.
4. I understand that you may need to communicate my personal data to the approved assessment body.

Full name

Signature

Date

**If completed electronically please tick to say you confirm the declaration**

### 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 SRA has a responsibility under the Solicitors Act 1974 to ensure that there are no issues, which could call into question your character and suitability as a solicitor.

For the purpose of conducting the required checks, relevant information may be shared with the following third parties:

- Credit Reference Agencies
- Course providers
- External assessors

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/>.

## 7. Application checklist

To help us process your application quickly, please check that:

- The declaration has been signed and dated.
- Any additional sheets are labelled and attached to this form.
- Original Certificate(s) of Good Standing is attached.
- Statement of Events and evidence relating to the matter(s) disclosed.
- References are attached (if applicable).

**If the form is not signed your application will not be processed.**

## 8. Returning the form

Please return this form to:

### **Post**

Solicitors Regulation Authority  
The Cube  
199 Wharfside Street  
Birmingham  
B1 1RN

### **DX**

DX 720293 BIRMINGHAM 47

## 9. What happens next?

Once your application has been received, we aim to make an assessment of your application within 30 days. As you have advised the SRA of character and suitability issues, your application may take up to six months to be determined.

We will check your application to ensure that we have all of the information we require. If your application is incomplete or we require further information, we will contact you to request this.

# Equality and Diversity

The SRA is committed to promoting equality and diversity. It is important to us that our services are accessible to you.

The information you provide will be held and used in accordance with the Data Protection Act 1998. The information will be treated as confidential, stored in a secure system accessible to authorised persons only and will be disposed of in accordance with our data disposal policy, which can be found at [www.sra.org.uk/sra/how-we-work/records-management.page](http://www.sra.org.uk/sra/how-we-work/records-management.page)

## Section 1

We need your support and assistance in relation to providing us with equality and diversity information about you. The information will help us undertake regular analysis and evaluation of our policies, procedures and processes to ensure that they promote equality of opportunity and do not unlawfully discriminate.

This section of the questionnaire will be destroyed as soon as the information has been entered into our secure system, where it will be used solely for monitoring of equality and diversity in relation to this file. No individuals will be identified.

Name	<input type="text"/>
File reference	<input type="text"/>

### Part A. Sex

Please tick ONE of the options below:

- Male  
 Female  
 Prefer not to say

### Part B. Age

Please tick ONE of the options below:

- |                                  |  |
|----------------------------------|--|
| <input type="checkbox"/> 16 - 21 | <input type="checkbox"/> 51 - 60           |
| <input type="checkbox"/> 22 - 30 | <input type="checkbox"/> 61 - 65           |
| <input type="checkbox"/> 31 - 40 | <input type="checkbox"/> 65+               |
| <input type="checkbox"/> 41 - 50 | <input type="checkbox"/> Prefer not to say |

### Part C. Ethnicity

Please tick ONE of the options below:

#### 1. White

- British  
English   
Scottish   
Welsh   
Other (please specify)

- Irish  
 Roma/Gypsy  
 Traveller of Irish Heritage

Any other white background (please specify)

#### 2. Mixed

- White and Black Caribbean  
 White and Black African  
 White and Asian

Any other mixed background (please specify)

#### 3. Asian or Asian British

- Indian  
 Pakistani  
 Bangladeshi

Any other Asian background (please specify)

#### 4. Black or Black British

- Caribbean  
 African

Any other Black background (please specify)

#### 5. Chinese or other ethnic background

- Chinese

Any other ethnic group (please specify)

6.  Prefer not to say

## Part D. Religion or Belief

Please tick ONE of the options below:

- |                                      |                                 |
|--------------------------------------|---------------------------------|
| <input type="checkbox"/> No religion | <input type="checkbox"/> Jewish |
| <input type="checkbox"/> Christian   | <input type="checkbox"/> Muslim |
| <input type="checkbox"/> Buddhist    | <input type="checkbox"/> Sikh   |
| <input type="checkbox"/> Hindu       |                                 |

Any other religion (Please specify)

- Prefer not to say

## Part E. Disability

The Disability Discrimination Act 1995 defines a disability as 'a physical or mental impairment which has a substantial and long-term adverse effect on the ability to carry out normal day-to-day activities' (or would have but for any treatment and/or medication). Long term usually means an impairment which has lasted or is likely to last at least 12 months.

Do you consider yourself to be disabled as defined by the Disability Discrimination Act?

- Yes       No       Prefer not to say

If yes, please state the type of impairment that applies to you. People may experience more than one type of impairment, in which case you may tick more than one. If none of the categories apply, please tick other and specify the type of impairment.

- Physical impairment  
 Hearing impairment  
 Visual impairment  
 Learning disability or difficulty  
 Mental health condition  
 Long-standing illness or health condition  
 Other (please specify)

- Prefer not to say

If you need a reasonable adjustment as a result of a disability please complete section 2.

## Part F. Sexual Orientation

Please tick ONE of the options below:

- Lesbian/gay woman  
 Heterosexual/straight  
 Bisexual  
 Gay  
 Prefer not to say

## Part G. Gender Identity

Please tick ONE of the options below:

Is your gender identity the same as the gender you were assigned at birth?

- Yes  
 No  
 Prefer not to say

## Section 2

This section of the questionnaire will be held on the case file and entered into our secure system. It will be made available to staff to ensure that we can endeavour to meet your requests and we may contact you in relation to this. This information will also be used for monitoring to ensure our services are accessible.

Name

## Reasonable adjustments

Are there any reasonable adjustments in relation to your disability that we can make for you (for example provide information in large print or Braille?). Please provide details below.

**Thank you for completing this form.**