



# LEGAL EX

insurance solutions for legal professionals

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## **Solicitors Professional Indemnity Insurance Proposal Form**

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Email to: [info@legalexplus.com](mailto:info@legalexplus.com)  
For Enquiries Call: 0800 180 4203



Please provide a full answer to every question. The definitions at the end of this form should be read in conjunction with the form. This form must be signed by a Principal/Member of the practice

**Part 1 - Name & Address**Practice Name: Solicitors Regulatory Authority Registration Number:  Date Established: 

Please include all names under which you practice and any other entities for which you are seeking cover, including Trustee and/or Nominee Companies. Please provide a sheet of your headed notepaper.

Main Address: Post Code:  Website: DX Number:  Contact: Telephone No:  Fax No: 

Name of person responsible for the Professional Indemnity Insurance	Email	Contact Telephone Number
<input type="text"/>	<input type="text"/>	<input type="text"/>

Do you have any other offices, other than the main office listed above for which you are seeking cover? YES ☐ NO ☐

*If Yes, please provide details on a separate sheet. If there is no resident partner/member at any of these offices, please identify the office concerned and explain how the office is supervised.*

Is your practice an LLP or company registered at Companies House? YES ☐ NO ☐

If it is an LLP, please provide a copy of your most recent statutory/management accounts.

**Part 2 - Prior Practises**

- 1 Please list the names of all prior practices of which this practice is a successor practice (please see definitions at the back) in the last 10 years. If necessary, list further details on a separate sheet.

Name of Practice	Date Established	Date of Succession
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

- 2 Have any of the listed practices reported any circumstances or claims in the last eight years? YES ☐ NO ☐

*If Yes, please refer to Part 8 below.*

- 3 Has the Practice merged with or acquired any other Practice since 1st October 2008 YES ☐ NO ☐

*If Yes, please provide copies of any Run Off Cover (with a copy of the Run Off Endorsement) together with details of any claims or circumstances notified by that Practice to Insurers within the last 6 years.*

**Part 3 - Alternative Business Structures**Is your firm licensed as an Alternative Business Structure? YES ☐ NO ☐Is the practice considering becoming an Alternative Business Structure within the next 12 months? YES ☐ NO ☐

*If Yes, please provide details of all proposals as currently known and include a copy of any application form and accompanying documentation that has been submitted to the Solicitors' Regulation Authority.*

## Part 4 - Solicitor & Principal Details

Please provide all information requested for every principal, member, assistant and consultant who will be employed by your practice as at the policy inception. If any person listed is a Registered Foreign Lawyer or a Registered European Lawyer, please note RFL or REL alongside solicitor status. (If you are a newly established practice, please enclose Curriculum Vitae for every Principal/Member in your practice, your Business Plan and Cash Flow Statement). Please list additional solicitors on a separate sheet.

Title	Surname	Forename(s)	Date of Birth	Status (Principal/Member/Consultant/Assistant)	Equity / Non-Equity	Full Time / Part Time	Date Qualified	Roll No.

\*Please state Equity or Non-Equity (E/NE)

### Non Solicitor Principals

Please provide all information requested for every non-solicitor principal, member or director as at the policy inception.

Title	Surname	Forename(s)	Date of Birth	Roll (HR, IT, Finance, Legal Executive, Conveyancer etc.)	Fee Earner?	Full Time / Part Time	Qualification	Regulatory Body

Number of non-solicitor fee earning staff:

Full Time:

Part Time:

Number of all other staff (inc secretarial):

Full Time:

Part Time:

Is the practice or any Principal of the practice, connected financially, or otherwise, with any other practice, company or business for which it renders professional services?

YES ☐

NO ☐

If Yes, please provide details on a separate sheet.

On a separate sheet, please provide details of any joint venture or outside board positions held by anyone listed in Part 4 below.

## Part 5 - Practice Fees

1 The practice's accounting year end is:

2 Please provide gross fee income for the last three accounting periods and an estimate of gross fee income for the next accounting period (or if you are a new firm the estimated fees for the first 12 months of practice):

Year Ending	UK	USA/Canada	Elsewhere	Total
2018				
2019				
2020				
2021 (estimate)				

\*If not available please supply us with an estimate.

## Part 6 - Client Types

1. Has any one client or group of clients generated 20% or more of your annual gross fee income in the last three years? YES ☐ NO ☐

*If Yes, please provide full details on a separate sheet of the client and the work undertaken.*

2. Does the Practice have any overseas offices? YES ☐ NO ☐
3. Is the Practice represented at all in the USA or its territories and possessions or Canada? YES ☐ NO ☐
4. Does the Practice give any foreign law advice? YES ☐ NO ☐

*If Yes, to questions 2-4 please provide full details on a separate sheet.*

**Please state percentage totalling 100% of gross fees arising from the categories of clients listed below:**

Public Quoted Companies (Takeover & Merger & Share Issue work only)	<input type="text"/>	%
Merchant Banks, Finance Houses, Hire Purchases and Credit Sales and other concerns providing Finance (other than Building Societies)	<input type="text"/>	%
Property Developers or Property Investment Companies (including their commercial conveyancing)	<input type="text"/>	%
Sub-Prime Lenders	<input type="text"/>	%
Insurance Brokers, Insurance Companies, Underwriting Agencies and similar organisations (other than handling of claims under insurance policies)	<input type="text"/>	%
All other clients	<input type="text"/>	%
<b>TOTAL</b>		<b>100%</b>

## Part 7 - Practising Certificate

In the last 10 years has any Partner, Director, Fee-Earner, Employee or Consultant in the practice:

- ever had a practising certificate refused, withdrawn or suspended? YES ☐ NO ☐
- been granted a conditional practising certificate? YES ☐ NO ☐
- been reprimanded, fined or otherwise sanctioned by the Solicitors Disciplinary Tribunal? YES ☐ NO ☐
- practised in a firm subject to an investigation or an intervention by the Solicitors Regulation Authority? YES ☐ NO ☐
- had an award for inadequate professional service made against him or her by the Legal Ombudsman (formerly Legal Complaints Service) or entered into any regulatory settlement agreement with the SRA? YES ☐ NO ☐
- had a civil or criminal judgment against him/her? YES ☐ NO ☐
- been investigated by any other regulatory body other than the Solicitors Regulation Authority (e.g. FSA, ILEX)? YES ☐ NO ☐
- Acted as an intervening agent or taken over an intervened firm? YES ☐ NO ☐
- been (or is currently) the subject of an Independent Voluntary Arrangement (IVA) or other arrangement? YES ☐ NO ☐
- Has the firm been the subject of a monitoring visit from the Law Society or Solicitors Regulation Authority in the last three years? YES ☐ NO ☐
- Has the firm ever been the subject of any visit or enquiry from the Forensic Investigation Unit of the Law Society or Solicitors Regulation Authority or has notice of any proposed visit or enquiry been given? YES ☐ NO ☐

*If Yes to any questions in Part 7, please provide full details on a separate sheet and include a copy of all reports issued by the Legal Ombudsman (formerly Legal Complaints Service), disciplinary tribunal and/or any other regulatory body.*

## Part 8 - Claims & Circumstances

Has your practice, or any prior practice, reported any circumstances, incidents or claims to, Qualifying Insurers or the Assigned Risk Pool in the:

Insurance Year 2014-2015?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Insurance Year 2017-2018?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Insurance Year 2015-2016?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Insurance Year 2018-2019?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Insurance Year 2016-2017?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Insurance Year 2019-2020?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

*If Yes to any insurance year, please provide details on a separate sheet, including claims information from Qualifying Insurers or the Assigned Risks Pool for all claims and circumstances reported since 1st September 2010 by your firm and any firm to which you are a successor practice.*

After a full enquiry has been made, are you aware:

1. of any claims having been made in the last six years against any Partner, Principal, Member or Director whilst in previous Practice. YES ☐ NO ☐
2. of any circumstances, allegations, shortcomings or expression of dissatisfaction including any criticism of the Practice's work, which has led to or may result in any claim being made against the Practice or any Partner, Principal, Member, Director, Assistant, Consultant or Employee either past or present, whilst they were in Practice, or in previous Practice. YES ☐ NO ☐

*If Yes to questions 1 & 2 please provide full details on a separate sheet including your opinion on both liability & quantum*

3. any circumstances, or claims reported by you on any prior practice in the past, arisen as a result of the fraud or dishonesty of any principal/member or employee of the practice? YES ☐ NO ☐

*If Yes, please provide details on a separate sheet including how the matter was resolved and the procedures / processes in place to avoid re-occurrence.*

4. any circumstances, incidents or claims that have not been reported to your current or prior insurers. YES ☐ NO ☐

*If Yes, please provide details on a separate sheet*

**PLEASE NOTE THAT YOU HAVE AN OBLIGATION UNDER YOUR CURRENT PROFESSIONAL INDEMNITY POLICY TO NOTIFY ALL CIRCUMSTANCES AND CLAIMS AS SOON AS IS PRACTICABLY POSSIBLE.**

## Part 9 - Current Premium

1) Who provides your primary £2m (£3m for companies, LLPs)?	<input type="text"/>
2) Who (if any) provides your Top Up insurance?	<input type="text"/>
3) What is the total amount of cover?	<input type="text"/>
4) What is your current premium excluding IPT?	<input type="text"/>
5) What is your current excess?	<input type="text"/>
6) Has any solicitor referred to in Parts 1-4 ever been in the Assigned Risks Pool?	YES <input type="checkbox"/> NO <input type="checkbox"/>
7) Have you ever failed to pay either your premium and/or any excess?	YES <input type="checkbox"/> NO <input type="checkbox"/>
8) Have you or any prior practice ever been refused professional indemnity insurance or had such insurance cancelled?	YES <input type="checkbox"/> NO <input type="checkbox"/>
9) Has there been any significant changes to or in the Practice in the last 12 months or do you expect any significant change during the next 12 months	YES <input type="checkbox"/> NO <input type="checkbox"/>
10) Are there any areas of the Practice that need further explanation (e.g. a niche field of work)	YES <input type="checkbox"/> NO <input type="checkbox"/>

*If Yes to questions 6-10 above, please provide details on a separate sheet.*



1. Has your practice or any prior practices ever undertaken any financial services work? YES ☐ NO ☐  
*If Yes, has this always been introductory only to a third party provider?* YES ☐ NO ☐
2. Has your firm undertaken work in relation to selling or advising on any mortgage endowment policies in 1990 or any subsequent years? YES ☐ NO ☐
3. Please indicate the percentage of your gross fees (to the nearest whole percent) allocated to the areas below for the last three financial years. (For guidance see definitions at the back of this form).

Area of Practice, Rounded to the nearest whole percentage	Last Completed Year %	Prior Completed Year 1 %	Prior Completed Year 2 %	Area of Practice, Rounded to the nearest whole percentage	Last Completed Year %	Prior Completed Year 1 %	Prior Completed Year 2 %
1. Administering oaths, taking affidavits and notary public				20. Litigious work other than given in any other category (Please provide details)			
2. Agency Advocacy				21. Marine Law - Litigious			
3. Acting as an Arbitrator, Adjudicator or Mediator				22. Matrimonial/Family			
4. Children, Mental Health Tribunal and Welfare				23. Non-litigious work other than given in any other category (Please provide details)			
5. Commercial Litigation				24. Offices and Appointments			
6. Commercial/Corporate Work (excluding work relating to Public Companies)				25. Parliamentary Agency			
7. Conveyancing - Commercial				26. Personal Injury - Claimant			
8. Conveyancing - Residential				27. Personal Injury - Defendant			
9. Criminal Law				28. Probate and Estate Administration			
10. Debt collection (low risk not exceeding £10,000)				29. Property Selling, Valuations and Property Management			
11. Debt collection (high risk other than detailed above)				30. Town and Country Planning			
12. Defendant Litigation (Insurers)				If you indicate a percentage in any of the areas below, please provide full details on a separate sheet			
13. Employment (contentious)				31. Commercial/Corporate Work for Public Companies			
14. Employment (non-contentious)				32. EC Competition Law and Human Rights Law			
15. Financial Advice and Services regulated by the SRA				33. Intellectual Property Work: including patent trademark or copyright			
16. Immigration				34. Wills, Trusts and Tax Planning			
17. Landlord and Tenant (Non-Litigious)				35. E-commerce and/or Information Technology Work			
18. Landlord and Tenant (Litigious)				36. Mergers and Acquisitions including Management Buy-outs and Buy-ins			
19. Lecturing and Related Activities and Expert Witness work				37. Financial Advice and Services where your practice has opted into regulation by the Financial Conduct Authority			
Total must equal 100%					100%	100%	100%

4. Has the practice or any prior practice ever carried out any Conveyancing work? YES ☐ NO ☐

*If No, please proceed to Part 11*

*If Yes, please complete the attached Conveyancing Questionnaire and answer the following:*

**Please provide details of:**

Residential

Commercial

The highest value in the last 12 months?

£

£

The average value in the last 12 months?

£

£

Has the Firm been granted accreditation under the Law Society's Conveyancing Quality Scheme?

YES ☐ NO ☐

*If Yes, please state date first granted*

Has your Firm been asked by a lender to agree to more onerous terms and conditions than provided for in the CML Handbook

YES ☐ NO ☐

## Part 11 - Commercial Work

Have you undertaken any Commercial Work in the last three financial years?

YES ☐ NO ☐

*If No, then please go to Part 12 -*

In respect of Commercial work, please provide Gross Fee Income for the last accounting period from:

Area	Gross fees non-public companies	Gross fees public companies	Area	Gross fees non-public companies	Gross fees public companies
Mergers and acquisitions	£		Insolvency	£	£
Debt issuance/ securitisation	£		Regulation/compliance	£	£
Project financing	£		Other (please specify)	£	£
Pension schemes	£		Other (please specify)	£	£
Tax	£		Other (please specify)	£	£

Please list the three largest matters over the last three years and fees earned in each case:

Area of Work	Public or non-public company. Please state.	Contract Value	Fees earned	Year completed
		£	£	
		£	£	
		£	£	

## Part 12 - Litigation Work

Have you undertaken any litigation in the last three financial years?

YES ☐ NO ☐

*If "No" please proceed to Part 13*

- i) In the last six years has your Practice, or any prior Practice, accepted instructions for any group litigation and/or class actions or other group litigation, where you have acted for either the Defendant or Claimant:

YES ☐ NO ☐

*If Yes, please provide full details on a separate sheet*

- ii) Over the last three financial years, what was the average size of settlement awarded?

£

- iii) What was the largest settlement achieved in the last three years?

£

- iv) What percentage of all litigation settlements in the last financial year were less than £50,000?

%

## Part 13 - Personal Injury Work

Have you undertaken any personal injury work in the last three financial years?

YES ☐

NO ☐

If No, please go to Part 14.

- a. What was your average and largest personal injury claimant settlement during the last financial year?

Average (£)

£

Largest (£)

£

- b. Please estimate the number of personal injury cases you currently have where the expected settlement exceeds £250,000.

- c. Approximately how many claimant personal injury cases has the Practice dealt with during the last 12 months?

- d. What percentage of your current cases have ATE insurance?

- e. What percentage of your work is Trade Union funded?

- f. Please advise your claimant personal injury work by percentage:

Clinical Negligence	Class Action	Road Traffic Accident	Employers/ Public Liability	Occupational Disease	Other
%	%	%	%	%	%

- g. Please provide details of any ATE insurance provider (specifying the percentage in each case) that you place more than 20% of your business

Insurer name	Percentage	%
		%
		%

- h. Do you receive or have you received in the last three years any commission or other financial incentive from any insurer or expert report provider?

YES ☐

NO ☐

If Yes, please provide full details on a separate sheet

## Part 14 - Financial Accounts

Please confirm the total fees outstanding to your practice as at the date of this application.

£

What percentage of this amount was billed more than 90 days ago?

%

What is the total unbilled work in progress as at the date of this application?

£

Does the firm currently have an overdraft facility?

YES ☐

NO ☐

If Yes, what is the balance owing as at the date of this application?

£

Does the firm have any loans or other borrowing from a third party?

YES ☐

NO ☐

If Yes, what is the amount owing and for what purpose were the funds raised?

£

Has the firm given any undertaking or guarantees in respect of professional practice loans to principals acquiring an interest in the firm?

YES ☐

NO ☐



## Part 15 - Limit of Liability & Excess

Please choose the limit of liability and excess required.

(Please note: Minimum limit of indemnity is £2m and £3m for an incorporated practice).

Sum Insured	Excess
£	£
£	£

Sum Insured	Excess
£	£
£	£

## Part 16 - Material Information

Is there any other material information that may be relevant to this form?

YES ☐

NO ☐

If yes, please explain on a separate sheet.

## Part 17 - Risk Management Section

a. Is the Practice LEXCEL accredited?

YES ☐

NO ☐

If Yes, please provide accreditation date and proceed to "confirmation section"

b. Which other Legal Services Commission Quality Marks or other quality standards, e.g. ISO or Investors In People, is your practice currently accredited with? Please specify and give the date of accreditation.

c. Does the Practice have a risk management strategy?

YES ☐

NO ☐

d. Does the Practice analyse and review complaints and claims record on a regular basis?

YES ☐

NO ☐

e. Does the Practice operate a firm wide diary system?

YES ☐

NO ☐

f. If Yes, does the Practice have a system to ensure all key dates are clearly noted on the file as well as central diary system?

YES ☐

NO ☐

g. Are regular file audits (at least quarterly) undertaken in each department including Partners', Principals', Members' or Directors' files?

YES ☐

NO ☐

h. Is the work (including workloads) of all fee-earners supervised by a Partner(s), Principal(s), Member(s) or Director(s)?

YES ☐

NO ☐

i. Are all relevant telephone conversations or verbal advices recorded on the file?

YES ☐

NO ☐

j. Does the Practice have a formal conflict search procedure in place when opening new files?

YES ☐

NO ☐

k. Before accepting new instructions, are all new clients vetted and agreed by a Partner, Principal, Member, Director or Head of Department?

YES ☐

NO ☐

l. Does the Practice provide regular written costs updates to the client during the progress of the file?

YES ☐

NO ☐

m. Does the Practice have policies in place to ensure all staff are up to date with legal developments?

YES ☐

NO ☐

n. Does the Practice have an anti-money laundering procedure and if so are all staff provided with requisite training?

YES ☐

NO ☐

o. Do all cheques over £25,000 require two partner's signatures?

YES ☐

NO ☐

p. Is there any dual control over electronic funds transfer so that no one person can transfer money without the knowledge of the other?

YES ☐

NO ☐

If No is answered to any of the questions c-p, please provide full details on a separate sheet

## Confirmation

All personal data collected by Legal Ex Plus(LEX) will be held in accordance with the Data Protection Act 2018 and the new EU General Data Protection Regulation (GDPR). LEX will disclose this information to our service providers and agents for administration purposes and for underwriting and claims handling this information to our service providers and agents for administration purposes and for underwriting and claims handling purposes.

In addition LEX may exchange information with other organisations such as the police, regulatory authorities and professional bodies by whose rules we are bound, through various databases to help us check information provided and to prevent fraud. By returning this form, you consent to the processing of personal data, including sensitive personal data, for these purposes and to LEX transferring such information outside the European Economic Area where necessary.

When you provide information about another person, you are confirming that they have appointed you to act for them. Such persons will have been made aware of the purposes for the data collection and processing set out above and have consented to such processing. You will receive on their behalf any data protection notices and keep them informed about how their data will be processed and where it may be disclosed.

LEX may share personal data with other companies with which we establish commercial links so we and they may contact you (by mail, email, telephone or other appropriate means) in order to keep you informed about carefully selected products, services or offers that we believe will be of interest to you. If you do not wish us to do this please tick the box. ☐

I declare that to the best of my knowledge or belief the particulars and statements given in this application and any other documentation and information provided in connection with this application are true and complete and this application, declaration, documentation and information will be the basis of the contract between my practice and the insurer.

I declare that I have informed the insurer of all the facts which are likely to influence an insurer in the acceptance or assessment of this insurance. I understand that the failure to do so could invalidate the insurance accepted by my practice. I accept that if I am in doubt whether any fact may influence an insurer I should disclose it.

I accept that all data collected by LEX will be held in accordance with the Data Protection Act 2018 and that LEX may disclose this information only in order to obtain quotations for my/our practice's professional indemnity insurance.

Signing this form does not bind you to accept any quotation provided by Legal Ex Plus.

Signature (principal/member)

Date:

Print Name (principal/member)

## Submission Checklist

Have you fully signed and dated the form and answered all questions? Please provide a piece of your headed notepaper marked "specimen". YES ☐ NO ☐

If you have any notified claims or circumstances please provide a claims print from either the Qualifying Insurer insuring you at the time the circumstance/claim was first notified. YES ☐ NO ☐

Copies of all reports and determinations issued by any Disciplinary Tribunal or any regulatory body. YES ☐ NO ☐

If you are a new practice please provide Curriculum Vitae for every principal/member, a Business Plan and a Cash Flow Statement. YES ☐ NO ☐

If you are an LLP, please provide a copy of your most recent statutory/management accounts. YES ☐ NO ☐

How many additional sheets are there with this proposal form?

## PLEASE RETURN THIS FORM TO:

**Legal Ex Plus**  
Great Northern House  
275 Deansgate  
Manchester  
M3 4EL

Email: [info@legalexplus.com](mailto:info@legalexplus.com)

**LEGAL EX PLUS** is a trading style of Lex Insure Services Limited (FCA No. 776004). Lex Insure Services Limited is an appointed representative of Independent Connections which is authorised and regulated by the Financial Conduct Authority and is entered in the Financial Services Authority Register with registered number 547989. The Financial Services Authority's Register can be accessed at <http://www.fsa.gov.uk/register> or by contacting the Financial Conduct Authority on 0800 111 6768.

Registered Office: Caroline House 115-125 Bradshawgate Bolton Greater Manchester BL2 1BJ UNITED KINGDOM

This form is to be read in conjunction with the application and policy documentation.

### **Area of practice**

#### **Agency advocacy**

Defined as all advocacy work, including attendance at a Court or Tribunal for the purpose of such advocacy, done on behalf of another insured practice.

#### **Commercial/corporate work - excluding work related to public companies**

This covers all commercial and private company work including mergers and acquisitions, corporate trusts and taxation.

#### **Commercial/corporate work for public companies**

This covers all work relating to public limited companies including mergers and acquisitions, corporate trusts and taxation. If you have indicated a percentage in this area, please provide full details on a separate sheet.

#### **Conveyancing - Commercial**

Acting on the acquisition, sale or financing of freehold or leasehold property where the client is acting in the course of a business.

#### **Conveyancing - Residential**

Acting on the acquisition, sale or financing of freehold or leasehold property where the client is not acting in the course of a business.

#### **Employment - Contentious**

Advising and acting on disputes between employer and employee which arise from statute and/or contracts of employment.

#### **Employment - Non Contentious**

General employment advice to employers, including corporate support on transfer of businesses; employee benefits and drafting of contracts of employment and staff handbooks.

#### **Financial advice and services regulated by the Solicitors Regulation Authority**

This covers financial advice and services regulated by the Solicitors Regulation Authority as a designated professional body under the Financial Services and Markets Act 2000.

#### **Financial advice and services where your firm has opted into regulation by the Financial Services Authority**

This covers financial advice and services directly regulated by the Financial Services Authority under the Financial Services and Markets Act 2000. If you have indicated a percentage in this area, please provide full details on a separate sheet.

#### **Landlord and Tenant**

Dealing with the exercise of contractual rights under a lease whether acting for a landlord or a tenant, including rights of enfranchisement, Landlord & Tenant Act 1954 claims, rent reviews, rights to manage, possession, and dilapidations.

#### **Lecturing and related activities and Expert Witness work**

This includes work involving the preparation for, and the presentation of, lectures, seminars, training and tuition whether for the purposes of professional skills training, continuing education or otherwise, and including the provision of written material for publication.

#### **Offices and appointments**

As clerks to City Livery Companies, Dean and Chapters, Drainage Boards, Local Councils, Charities or School Governing Bodies; Diocesan Registrars, Archdeacon's Registrars or Provincial Registrars of the Provinces of the Church of England in respect of work covered by an Ecclesiastical Fees Order, provided that any such offices and appointments are undertaken in the course of private legal practice.

THIS DOES NOT INCLUDE APPOINTMENT AS AN OFFICER OR DIRECTOR OF A COMPANY.

#### **Parliamentary agency**

Defined as all work done in the promotion of or opposition to primary or subordinate legislation.

#### **Property selling, valuation and property management**

This covers property selling, valuations and property management carried out by the practice but does not include any separate business providing these services that is outside the regulation of the Solicitors Regulation Authority.

### **Succession**

#### **Successor practice/prior practice**

The definition of successor practice in the Minimum Terms and Conditions is complicated. You may be a successor practice even though you did not intend to take on the liabilities of another practice when taking it over or merging with it and even if you specifically agreed that those liabilities would remain elsewhere. Whenever a practice ceases "being carried on as a discrete business", there is potential for the successor practice clause to take effect. You may become a successor practice by holding out your practice "expressly or by implication" as being the successor of or by incorporating the other practice(s), by taking on a majority of the principals in the other practice as principals in your firm, by taking on at least one such principal as a principal when the majority have not become principals in another practice, by taking a sole practitioner or Recognised Body into your firm as a principal, or by taking on a sole practitioner as an employee after 31 August 2000. If your firm has done any of these things, at any time or is planning to do so, you may be a successor practice and should provide full details.



## Conveyancing Questionnaire

This questionnaire must be completed if at any time Gross Fees for your firm have been derived from any conveyancing work including remortgages (residential and/or commercial). Continue any explanations on a separate sheet, where necessary.

1. Please state the number of fee earners in your firm who undertake or have undertaken conveyancing work.

	Principals	Other qualified fee earners	Non qualified fee earners
Last Completed Year			
Prior Completed Year - 1			
Prior Completed Year - 2			
Prior Completed Year - 3			

2. Please complete the table below in relation to residential conveyancing:

	Gross Fees	Number of Transactions	Highest Capital Value	Average Typical Capital Value	Percentage of Transactions relating to remortgage work
Last Completed Year					
Prior Completed Year - 1					
Prior Completed Year - 2					
Prior Completed Year - 3					

3. Please complete the table below in relation to commercial conveyancing:

	Gross Fees	Number of Transactions	Highest Capital Value	Average Typical Capital Value	Percentage of Transactions relating to remortgage work
Last Completed Year					
Prior Completed Year - 1					
Prior Completed Year - 2					
Prior Completed Year - 3					

4. Estimate what percentage of all your conveyancing instructions in each of the last four complete financial years relates to the purchase of buy-to-let properties?

Last Completed Year	Prior Completed Year - 1	Prior Completed Year - 2	Prior Completed Year - 3

5. In any of the last six years has any client or referrer been responsible for more than 5% of your conveyancing instructions whether or not a formal referral arrangement was in place? e.g. a mortgage broker, estate agent

YES ☐ NO ☐

*If 'Yes' please provide full details on a separate sheet*

6. Has your practice acted for multiple (three or more) purchasers in the same development or building in the last 6 years?

YES ☐ NO ☐

*If 'Yes' please provide details on a separate sheet*

7. In respect of right to buy purchases, has your firm or any Prior Practice received referrals from a broker or claims management company in the last 15 years?

YES ☐ NO ☐



8. Please complete the table below in relation to right to buy transactions:

	Gross Fees	Number of Transactions	Highest Capital Value	Average Typical Capital Value	Percentage of Transactions relating to remortgage work
Last Completed Year					
Prior Completed Year - 1					
Prior Completed Year - 2					
Prior Completed Year - 3					

9. Please confirm if the Practice has the following:

- |                                                                                                        |                              |                             |
|--------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| a) The Practice has procedures in place in order to avoid mortgage fraud (including regular training)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b) The Practice has procedures in place for reporting matters of concern to lender clients?            | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c) Within the last 6 years provided advice on or acted in a transaction involving the SDLT scheme?     | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d) Within the last 6 years performed residential/commercial estate agency?                             | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e) Within the last 6 years performed surveys/valuations for lenders or financial institutions?         | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| f) Within the last 6 years produced home buyers/condition reports?                                     | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| g) In the last 6 years produced a home information pack other than for the vendor you are acting for?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

*If "Yes" to any question c) to g) please provide full details on a separate sheet*

10. On approximately how many occasions in the last 3 years have you received requests for conveyancing files from lenders? Please provide full details including the name(s) of the lender(s) and the total number of individual files requested, and confirmation that the then insurer was notified.

11. Have you ever been suspended or removed from any lender panel? YES ☐ NO ☐

*If 'Yes' please provide full details including the name(s) of the lender(s) on a separate sheet.*

12. Over the last five years what processes has the Practice put in place to ensure that changes to lender requirements are appropriately tracked? If there has been a material change in your procedures and/or you have deployed new software please provide dates of implementation

13. Does anyone other than a Principal sign reports and/or certificates of title addressed to lenders or their representatives? If 'Yes' please provide full details on a separate sheet. YES ☐ NO ☐

14. Has the Firm or any Prior Practice acted in the last five years in any conveyancing transaction involving a subprime lender? YES ☐ NO ☐

15. Has the Practice (or any Prior Practice) ever:

- |                                                                         |                              |                             |                             |
|-------------------------------------------------------------------------|------------------------------|-----------------------------|-----------------------------|
| a) advised on Equity Release Plans?                                     | YES <input type="checkbox"/> | NO <input type="checkbox"/> | Number <input type="text"/> |
| b) accepted instructions from property clubs or investment schemes?     | YES <input type="checkbox"/> | NO <input type="checkbox"/> | Number <input type="text"/> |
| c) does the practice plan to do any of the above in the next 12 months? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |                             |

*If 'Yes' please provide details on a separate sheet*

Signed (Principal/Partner/Member/Director):

Date:

## Additional Information

Please use this space to provide further information in support of answers given to questions in the proposal form.  
Please state the question numbers clearly.



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# Insurance solutions for Legal Professionals....



**LEGAL EX** 

insurance solutions for legal professionals

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