


# SRA Code of Conduct for Solicitors, RELs and RFLs


 Guidance, changes, terms, notes and tags

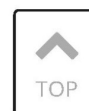
## Introduction

The Code of Conduct describes the standards of professionalism that we, the SRA, and the public expect of individuals (solicitors, registered European lawyers and registered foreign lawyers) authorised by us to provide legal services.

They apply to conduct and behaviour relating to your practice, and comprise a framework for ethical and competent practice which applies irrespective of your role or the environment or organisation in which you work (subject to the Overseas Rules which apply to your practice overseas); although paragraphs 8.1 to 8.11 apply only when you are providing your services to the public or a section of the public.

Conduct does not need to take place in a workplace in order to relate to your practice – these requirements capture conduct which touches realistically upon your practice of the profession, in a way that is demonstrably relevant.

You must exercise your judgement in applying these standards to the situations you are in and deciding on a course of action, bearing in mind your role and responsibilities, areas of practice, and the nature of your  (which in an in house context will generally include



your employer and may include other persons or groups within or outside your employer organisation).

You are personally accountable for compliance with this Code - and our other regulatory requirements that apply to you - and must always be prepared to justify your decisions and actions.

A serious failure to meet our standards or a serious breach of our regulatory requirements may result in our taking regulatory action against you. A failure or breach may be serious either in isolation or because it comprises a persistent or concerning pattern of behaviour. In addition to the regulatory requirements set by us in our Codes, Principles and our rules and regulations, we directly monitor and enforce the requirements relating to referral fees set out in section 56 of the Legal Aid, Sentencing and Punishment of Offenders Act 2012, and provisions relating to anti money laundering and counter terrorist financing, as [set out in regulations made by the Treasury](#) as in force from time to time.

All these requirements are underpinned by our Enforcement Strategy. That strategy explains in more detail our views about the issues we consider to be serious, and our approach to taking regulatory action in the public interest.

This introduction does not form part of the SRA Code of Conduct for Solicitors, RELs and RFLs.

## Code of Conduct for Solicitors, RELs and RFLs

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### 1: Maintaining trust and acting fairly



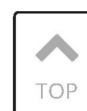
### 2: Dispute resolution and proceedings before courts, tribunals and inquiries



## 3: Service and competence

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- 3.1** You only act for clients on instructions from the client, or from someone properly authorised to provide instructions on their behalf. If you have reason to suspect that the instructions do not represent your client's wishes, you do not act unless you have satisfied yourself that they do. However, in circumstances where you have legal authority to act notwithstanding that it is not possible to obtain or ascertain the instructions of your client, then you are subject to the overriding obligation to protect your client's best interests.
- 3.2** You ensure that the service you provide to clients is competent and delivered in a timely manner.
- 3.3** You maintain your competence to carry out your role and keep your professional knowledge and skills up to date.
- 3.4** You consider and take account of your client's attributes, needs and circumstances.
- 3.5** Where you supervise or manage others providing legal services:
- (a)** you remain accountable for the work carried out through them; and
  - (b)** you effectively supervise work being done for clients.
- 3.6** You ensure that the individuals you manage are competent to carry out their role, and keep their professional knowledge and



skills, as well as understanding of their legal, ethical and regulatory obligations, up to date.

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## 4: Client money and assets



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# Business requirements

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## 5.1-5.3: Referrals, introductions and separate businesses



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## 5.4-5.6: Other business requirements



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# Conflict, confidentiality and disclosure

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## 6.1-6.2: Conflict of interests



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## 6.3-6.5: Confidentiality and disclosure



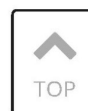
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## 7: Cooperation and accountability



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# When you are providing services to the public or a section of the public



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**8.1: Client identification**



**8.2-8.5: Complaints handling**




**8.6-8.11: Client information and publicity**




**Supplemental notes**

Rules made by the Solicitors Regulation Authority Board on 6 June 2023.

Made under sections 2, 13, 28, 31, 32, 33A, 34 and 37 of the Solicitors Act 1974, section 89 of, and paragraphs 2 and 3 of Schedule 14 to, the Courts and Legal Services Act 1990, section 9 of the Administration of Justice Act 1985 and section 83 of, and Schedule 11 to, the Legal Services Act 2007.

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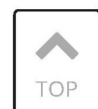
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