

Additional information required from a firm applying for authorisation as an ABS

Complete this form in addition to the entity application form.

Name of firm

Connected businesses

Will this firm own, actively participate in or be connected to any other business?

Yes

No

If you answered yes, give details for each connected business. There is space for 3 connected businesses below. Please set out details of any further connected businesses in a separate document.

Connected business 1

Will this business engage in legal activities?

Yes

No

Will the connected business have clients or aspects of cases referred, signposted or transferred from the applicant firm?

Yes

No

Will the connected business be jointly advertised or promoted with the applicant firm?

Yes

No

Name and registration details of the connected business:

Describe the relationship between the connected business and the applicant firm.

If the connected business is regulated, who is it regulated by?

Describe the work undertaken by the connected business:

Connected business 2

Will this business engage in legal activities?

Yes

No

Will the connected business have clients or aspects of cases referred, signposted or transferred from the applicant firm?

Yes

No

Will the connected business be jointly advertised or promoted with the applicant firm?

Yes

No

Name and registration details of the connected business:

Describe the relationship between the connected business and the applicant firm.

If the connected business is regulated, who is it regulated by?

Describe the work undertaken by the connected business:

Connected business 3

Will this business engage in legal activities?

Yes

No

Will the connected business have clients or aspects of cases referred, signposted or transferred from the applicant firm?

Yes

No

Will the connected business be jointly advertised or promoted with the applicant firm?

Yes

No

Name and registration details of the connected business:

Describe the relationship between the connected business and the applicant firm.

If the connected business is regulated, who is it regulated by?

Describe the work undertaken by the connected business:

Relations with other persons and businesses

Will the applicant firm share premises, staff, or data with any other person or business?

Yes

No

If yes, please provide details and explain how client confidentiality will be protected.

Does the firm consider itself, for the purposes of section 72 of the Legal Services Act 2007, to be a body:

with share capital – see section 72(6)(a)

Yes

No

with capital but no share capital – see section 72(6)(b)

Yes

No

without capital – see section 72(6)(c)

Yes

No

What steps has the firm taken to satisfy itself of the material interests which exist for the purposes of Schedule 13 to the Legal Services Act 2007?

Who is entitled to exercise or control the exercise of voting power (or will have such an entitlement) in the firm and all relevant parent undertakings? See paragraphs 3 and 5(4) of Schedule 13 to the Legal Services Act 2007.

Which non-authorised persons have significant influence over the management of the firm and all relevant parent undertakings? Please describe the nature of that influence.

Does the applicant have a parent undertaking?

Yes

No

If yes, please confirm whether:

any non-authorised person has any right of veto, or is otherwise able to have dominant influence (passively or actively) in relation to the exercise of voting power, or in relation to management in the firm and all relevant undertakings?

Yes

No

the applicant or any relevant parent undertaking is managed on a unified basis with another body or with other bodies?

Yes

No

any non-authorised person has the right to impose directions on the operating and financial policies of the applicant, or a relevant parent undertaking, including by virtue of the Articles of Association or a control contract?

Yes

No

any non-authorised person has an unqualified right to appoint or remove a majority of the directors of the firm or a parent undertaking?

Yes

No

Will the applicant be a subsidiary undertaking for the purposes of Schedule 13 to the Legal Services Act 2007? See the definition in section 420 of the Financial Services and Markets Act 2000.

Yes

No

What steps has the firm taken to comply with section 190 of the Legal Services Act 2007?

Are any of the firm's external investors incorporated or domiciled in a jurisdiction identified by the Financial Action Task Force as high risk and suspect, or that are on the Organisation for Economic Cooperation Development sanction list?

Yes

No

If yes, please give details:

Declaration

I/we confirm this information is true, accurate and complete.

Name

Date (dd/mm/yyyy)