

## **Apply to be an approved manager in an alternative business structure**

Use this form if you are

- applying to be an owner in an alternative business structure and
- not an Authorised Person under [section 18 of the Legal Services Act 2007](#)

Name of firm

Firm's CILEx Regulation  
number (if applicable)

### **Your details**

Title

First name(s)

Surname

Date of birth (dd/mm/yyyy)

Home address

Email address

Phone number

Alternative phone number

**Do you have the right to work in the United Kingdom?**    Yes                      No

If no, please explain your situation:

**If you have a visa:**

Visa number

Visa expiry date (dd/mm/yyyy)

I will attach a copy of my visa certificate to my application

**Your proposed interest in the firm**

What is your proposed interest in the firm? eg shareholder, partner

What percentage of the firm do you propose to hold?

Would you hold these shares as a nominee (i.e. would someone hold them on your behalf)?                      Yes                      No

If yes, please give details:

**Your professional status**

Have you ever been a member of a professional body?                      Yes                      No

If you answered yes, give details for all professional bodies of which you are/have been a member. There is space for 3 bodies below. Please set out details of any further memberships in a separate document.

***Professional body 1***

Name of professional body

Registration or membership no.

Dates of membership

***Professional body 2***

Name of professional body

Registration or membership no.

Dates of membership

***Professional body 3***

Name of professional body

Registration or membership no.

Dates of membership

Have you ever had any restrictions placed on a professional membership?

Yes

No

If yes, please give details:

**Your other business interests**

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

Yes

No

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

***Connected business 1***

Will this business engage in legal activities?

Yes

No

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

Yes

No

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

Yes

No

Name and registration details of the connected business

Describe your relationship with the connected business

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

Yes

No

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

Yes

No

Name and registration details of the connected business

Describe your relationship with the connected business

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

Yes                            No

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

Yes                            No

Name and registration details of the connected business

Describe your relationship with the connected business

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

Describe the work undertaken by the connected business

## Your prior conduct

As a holder of an approved role in a firm, you would be regulated by CILEx Regulation. You are required to answer these questions and disclose full details of any conduct that falls within rule 11 (1) of our Enforcement Rules as soon as it happens, and in every application for membership or authorisation – including your annual renewal application.

You must declare all convictions, cautions, reprimands and final warnings that are not protected, even if they are spent. The government provides guidance on whether something is spent [here](#), and on whether it is protected [here](#). This includes those that are spent.

Question	Response		If yes, is this the first time you have declared this matter to CILEx Regulation?	
Do you have any convictions, cautions, reprimands or final warnings that are not “protected” as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended)?	Yes	No	Yes	No
Have you ever been subject to any investigations or proceedings by any regulatory or professional body (including findings or orders currently under appeal)?	Yes	No	Yes	No
Are you, or have you ever been, bankrupt or entered into a formal, legally binding debt management solution such as an IVA, Debt Relief Order, Administration Order or Composition Order? We do not need to know about any informal arrangements you have made with your creditors.	Yes	No	Yes	No
Have you ever been removed from being a trustee of a charity, or removed from being concerned with the management or control of a charity?	Yes	No	Yes	No
Have you been removed from office as a member, director or manager of a public body? A public body is generally thought of as an organisation that delivers a public service.	Yes	No	Yes	No

Question	Response	If yes, is this the first time you have declared this matter to CILEx Regulation?
Have you been disqualified from acting as a director of a company?	Yes      No	Yes      No
Have you ever been the subject of a civil judgment? This includes orders from any court that relate to a non-criminal matter, including but not limited to County Court Judgments (CCJs).	Yes      No	Yes      No
Have you been involved in any other matter which may be relevant to a decision by CILEx Regulation to admit, authorise or approve you? This includes information that may be relevant to your suitability, including but not limited to allegations of dishonesty, gross misconduct and non-motoring fixed penalty notices or any other conduct that indicates a breach of the Code of Conduct.	Yes      No	Yes      No

If you have answered yes to any question, use this box to provide details.

### Your work history

Please attach a detailed CV or similar document setting out for the past 5 years:

- your position
- name of employer
- nature of employer's work
- date your employment started and ended

I will attach a CV or similar document setting out my work history

## Declaration

I declare that the information given in this form is correct.

I understand that as an applicant and once I become authorised by CILEx Regulation as an Approved Manager of a CILEx Authorised Entity, I am regulated by CILEx Regulation and I am bound by the provisions of the Charter Bye-Laws and all other rules and regulations of CILEx and CILEx Regulation for the time being in force, including the Code of Conduct and Practice Management Agreement.

I understand that if I provide information that is false or if I fail to declare conduct I am required to declare, disciplinary action may be taken against me.

Name

Date (dd/mm/yyyy)

## Data Protection Act 2018

Approved Managers' names, and those of their employers, will be published in the Directory of Entities on the CILEx Regulation website and in other directories which provide information about law firms and lawyers.

The personal data you provide to CILEx or CILEx Regulation will be used by them to consider this application and to enable them to meet their obligations as a professional body and Approved Regulator under the Legal Services Act 2007.

In addition to publishing basic information about Authorised Entities, Approved Managers and Compliance Managers on our own website, and providing that information to other approved publishers of legal directories, we provide it in a publicly available database where third parties, including operators of comparison websites and other commercial organisations, may access it in reusable form and republish it, alone or in combination with other information.

I consent to my information being included in this database

You can find more information about the way we use your data in our privacy statement [here](#). Information about disciplinary matters is only made public in accordance with our publication policy, which is available [here](#).

## Please check you have included any supporting documents:

CV or work history document

Copy of your visa certificate (if applicable)

Send your completed form and supporting documents to [giles.probert@cilexregulation.org.uk](mailto:giles.probert@cilexregulation.org.uk)

Once we have received your application, we will contact you to arrange Disclosure and Barring Service (DBS) checks.