

# Professional indemnity insurance Solicitors proposal form

## Instructions

Please provide a full answer to every question. Please ensure that all answers are printed in block letters within the spaces provided. A principal of the practice must sign and date this form and any separate sheets.

**Please include with this form your financial accounts for the last two accounting periods and a sheet of your current headed notepaper (crossed 'for insurance purposes only').**

## 1 Name and address details

Practice name (Include all other names under which you practice and any other entities for which you are seeking cover including Trustee and/or nominee companies and/or incorporated principals).

Main office address

  
  
  

Postcode:

Telephone number

Contact e-mail address

Employer's Reference Number (ERN)  
(found on PAYE documents)

Practice website

Date established

Solicitors Regulation Authority Registration Number

Is your practice a Limited Liability Partnership or a Company registered at Companies House? Yes  No

Do you have any other offices, other than the office listed above, for which you are seeking cover? Yes  No

If 'Yes', list the addresses on a separate sheet. If there is no resident Principal, Director or Member at any of these offices, identify the office concerned and explain how the office is supervised.

## 2 The firm

2.1 Please provide all information requested for every Principal, Assistant and Consultant who will be employed by your practice as at the inception date of the Policy. If anyone listed is a Registered Foreign Lawyer or Registered European Lawyer, please note RFL or REL alongside solicitor status. If you are a newly established practice, please enclose a Curriculum Vitae for every Principal in your practice, your Business Plan and a Cash Flow Statement.

Title	Solicitor's full name	Date of birth (DD/MM/YYYY)	Solicitor status (Principal / Member / Assistant / Consultant)	Full or Part time	Roll number (As shown on practising certificate)	No. years practising since admission in England & Wales (excluding career breaks)
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Please list any additional solicitors on a separate sheet

**2.2 Legal disciplinary practices**

Please provide all information requested for every Principal who is not a solicitor.

Title	Full name	Date of birth (DD/MM/YYYY)	Role (e.g. HR / IT / Finance Director, barrister, legal executive, licensed conveyancer etc)	Fee earner (Yes / No)	Full or Part time	Regulatory body
		/ /				
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**2.3 Work for other practices**

Are any Principals or other fee earners also Principals, fee earners or employees of other law practices or any other businesses? Yes  No

If 'Yes', please provide full details.

**2.4 Outsourced arrangements**

Does the practice outsource any legal, secretarial, or other work? Yes  No

If 'Yes', please provide full details.

**3 Staff**

Please state total number of:

Equity Principals/Directors/Members  Non-Equity Principals/Directors/Members:  Other solicitors:

Other non-solicitor fee earners:  All other staff, inc secretarial:

**Please state if none in each case and please record each part time individual as 0.5**

**4 Prior practices**

List the names of all prior practices to which this practice has become a Successor Practice in the last fifteen years. Use a separate sheet if necessary.

Practice name	Date established	Date of succession
	/ /	/ /
	/ /	/ /
	/ /	/ /
	/ /	/ /

Have any of the above reported any circumstances, incidents or claims in the last five years? Yes  No

If 'Yes', Please provide copies of claims information from other Qualifying Insurers or the Assigned Risks Pool for all circumstances and claims reported since 01/10/2006.

Is the practice planning any succession or merger with another practice within the next twelve months? Yes  No

If 'Yes', please provide full details.

**5 Other mergers and acquisitions**

Since 01/10/2010 have you merged with or acquired any firm that purchased run-off cover prior to the merger or acquisition so that it is not a prior practice? Yes  No

If 'Yes', provide full details including the name of the firm, their last completed proposal form and proof of run off cover.

**6 Alternative business structures**

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.

**7 Practice fees / finances**

7.1 Provide details of the practices gross fees on the following basis for the previous five years

	Last Complete Year	Previous Year	3 <sup>rd</sup> Year	4 <sup>th</sup> Year	5 <sup>th</sup> Year
Gross fee income <i>(UK &amp; Overseas)</i>	£	£	£	£	£
Overseas work*	£	£	£	£	£
Largest fee from any one client	£	£	£	£	£
Average fee	£	£	£	£	£

Financial year end date  Estimated fees for the current year

\* For any overseas work, list countries and jurisdiction applying on the following page

7.2 Have there been any significant changes to the above figures in 7.1 above over the last three years? Yes  No   
 If 'Yes', please provide details.

7.3 Of the total fees, please provide gross fees for the last annual accounting period relating to those fees paid by clients domiciled in the USA and its territories and possessions or Canada.

7.4 If you have entered any fees under 7.3 above, please provide full details of those clients and work undertaken and indicate whether the work is undertaken under UK or US Law.

7.5 Does any one client, group of clients or any referral source generate 20% or greater of your annual fees? Yes  No   
 If 'Yes', please provide full details of these clients or referrers, fees earned/percentage generated and the work undertaken.

7.6 Has your practice, or any prior practice, ever:

i. Provided management services or investment advice to any entertainment clients or sporting professionals? If 'Yes', please provide details on a separate sheet Yes  No

ii. Accepted instructions for any class actions or other group litigation? If 'Yes', please provide details on a separate sheet Yes  No

## 8 Financial accounts

8.1 Please provide a copy of the annual accounts for the practice for the last two complete financial years.

8.2 For the last three accounting periods, please provide the following information from your annual accounts:

	Last completed year	Prior to last completed year 1	Prior to last completed year 2
Net Profit/ (Loss) after tax and before drawings	£	£	£
Total Principal/Partner drawings or Director/Member Remuneration	£	£	£
Net worth of the firm (Total assets less total liabilities)	£	£	£

8.3 Outstanding fees - please complete following:

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?

## 9 Practising certificate and regulatory issues

9.1 In the last ten years has any Principal or fee-earner in the practice:

- ever been refused a practising certificate? Yes  No
- ever been granted a conditional practising certificate? Yes  No
- been reprimanded, fined or otherwise sanctioned by the Disciplinary Tribunal? Yes  No
- practised in a firm subject to an investigation or an intervention by the Law Society or Solicitors Regulation Authority? Yes  No
- had an award for inadequate professional service made against him or her by the Legal Complaints Service (LCS) or the former CCS or OSS or entered into any regulatory settlement agreement with the SRA? Yes  No
- had a civil or criminal judgement against him or her? Yes  No
- been investigated by any regulatory body other than Law Society or Solicitors Regulation Authority (e.g. FCA, Council of Licensed Conveyancers, ILEX)? Yes  No

9.2 Has the practice been the subject of a monitoring visit from the Solicitors Regulation Authority in the last three years? Yes  No

9.3 Has the practice been the subject of any visit or enquiry from the Forensic Investigation Unit in the past three years or has notice of any proposed visit or enquiry been given? Yes  No

If you have answered 'Yes' to any of the above questions, please provide full details on a separate sheet and include a copy of all reports and relevant correspondence issued by the SRA, LCS, former CCS or OSS, Forensic Investigation Unit, Disciplinary Tribunal and / or any other regulatory body.

## 10 Area of practice

Please provide the percentage of gross fees allocated to each area of practice in the last three completed accounting periods. If you are a new practice, estimate percentages for the coming year rounded to the nearest whole percent. For guidance please refer to definitions.

	Area of practice Round to the nearest whole percent	Last Year %	Prior Year 1 %	Prior Year 2 %
1.	Acting as an arbitrator, adjudicator or mediator	%	%	%
2.	Administering oaths, taking affidavits and notary public	%	%	%
3.	Agency advocacy	%	%	%
4.	Children, mental health tribunal and welfare	%	%	%
5.	Commercial litigation	%	%	%
6.	Commercial/Corporate work (not related to public companies) [Please also complete section 11 of proposal]	%	%	%
7.	Commercial/Corporate work (related to public companies) [Please also complete section 11 of proposal]	%	%	%
8.	Conveyancing – commercial [Please also complete section 12 of proposal]	%	%	%
9.	Conveyancing – residential [Please also complete section 12 of proposal]	%	%	%
10.	Criminal law	%	%	%
11.	Debt collection	%	%	%
12.	Defendant litigious work for insurers, including defendant personal injury work	%	%	%
13.	Employment – contentious	%	%	%
14.	Employment - non contentious	%	%	%
15.	Financial advice and services regulated by the Solicitors Regulation Authority	%	%	%
16.	Financial advice and services where your firm has opted into regulation by the FCA**	%	%	%
17.	Immigration	%	%	%
18.	Intellectual property including patent trademark and copyright*	%	%	%
19.	Landlord and tenant – litigious	%	%	%
20.	Landlord and tenant - non litigious	%	%	%
21.	Lecturing and related activities and expert witness work	%	%	%
22.	Litigious work other than given in any other category	%	%	%
23.	Matrimonial/Family [Please also complete section 14 of proposal]	%	%	%
24.	Non-litigious work other than given in any other category	%	%	%
25.	Offices and appointments	%	%	%
26.	Parliamentary agency	%	%	%
27.	Personal injury (claimant) [Please also complete section 13 of proposal]	%	%	%
28.	Probate, and estate administration [Please also complete section 15 of proposal]	%	%	%
29.	Property management, valuations and real estate agency	%	%	%
30.	Town and country planning	%	%	%
31.	Wills, trusts and tax planning [Please also complete section 15 of proposal]	%	%	%
	<b>Totals must equal 100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

\* Please provide details on a separate sheet.

\*\* Please contact us to arrange for completion of a financial services questionnaire.

Please provide:

a) Details of litigious work (see 22 page 5).

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b) Details of non-litigious work (see 24 page 5).

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c) Any other details of your areas of practice that you consider to be relevant (e.g. specific client base, specialist or niche field).

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**11 Commercial work**

If you placed an entry under categories 6 or 7 under section 10 of the proposal (Area of practice), please answer the following question.

11.1 In respect of commercial work, please provide gross fee income for the last accounting period from:

Area of work	Gross fees non-public companies	Gross fees public companies
Mergers and acquisitions	£	£
Debt issuance / securitisation	£	£
Project financing	£	£
Pension schemes	£	£
Tax	£	£
Insolvency	£	£
Regulation / compliance	£	£
Other 1 (specify) _____	£	£
Other 2 (specify) _____	£	£
Other 3 (specify) _____	£	£

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

Area of work	Public or non-public company (state)	Contract value	Fees earned	Year completed
		£	£	
		£	£	
		£	£	
		£	£	
		£	£	

**12 Conveyancing work**

If you placed an entry under categories 8 or 9 under section 10 of the proposal (Area of practice), please answer the following question.

12.1 Please state the number of fee earners in your practice who undertake or have undertaken conveyancing work

	Last completed year	Prior completed year (-1)	Prior completed year (-2)
Solicitors			
Other qualified fee earners			
Non-qualified fee earners			

12.2 Please fill in the table below in relation to residential conveyancing.

	Last completed year	Prior completed year (-1)	Prior completed year (-2)
Gross fees	£	£	£
Number of transactions			
Highest capital value	£	£	£
Average capital value	£	£	£
Percentage of total relating to remortgage work	%	%	%

12.3 Please fill in the table below in relation to commercial conveyancing.

	Last completed year	Prior completed year (-1)	Prior completed year (-2)
Gross fees	£	£	£
Number of transactions			
Highest capital value	£	£	£
Average capital value	£	£	£

12.4 Please provide the percentage split of residential conveyancing work in the following geographical areas.

Region	Percentage	Region	Percentage
London	%	South East	%
South West	%	Midlands	%
North West	%	North East	%
Wales	%	Other	%

12.5 What percentage of conveyancing transactions involve the following lenders?

Lender	Percentage	Lender	Percentage
Affirmative Finance	%	Godiva Mortgages	%
Royal Bank of Scotland	%	Kensington Mortgage Company	%
Amber Home Loans	%	London Mortgage Company	%
Astra Mortgages	%	Mortgages PLC	%
Distinct Mortgages	%	Ocean Money II Ltd	%
Future Mortgages	%	Southern Pacific Mortgages	%
GMAC	%		

12.6 In any year in the last three, have more than 10% of your conveyancing instructions originated from any one development or from any one client or referrer, e.g. mortgage broker, developer, financial adviser, estate agent? If 'Yes', please provide full details. Yes  No

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

Last completed year  % Prior completed year (-1)  % Prior completed year (-2)  %

12.8 What identity checks do you carry out on conveyancing clients?

12.9 How do you comply with lender requirements on verification of identity?

12.10 If you do not meet a client prior to a transaction how do you establish identity?

12.11 Over the last three years what safeguards have you had in place to ensure that any information indicative of mortgage fraud (e.g. back to back transactions, discounts, incentives) is:

a) identified:

and

b) reported to lender clients:

12.12 Does anyone other than a Principal sign reports and/or certificates of title addressed to lenders? Yes  No   
If 'Yes', please provide full details.

12.13 On approximately how many occasions in the last twelve months have you received requests for conveyancing files from lenders? Please provide full details including the name(s) of the lender(s)

12.14 Has the practice or any prior practice in the last twelve months:

a) undertaken residential or commercial surveys /valuations for lending purposes? Yes  No

If 'Yes', how many?

b) advised on Equity Release Plans? Yes  No

If 'Yes', how many?

12.15 Does the practice plan to do any of the above in the next twelve months? Yes  No   
If 'Yes', please provide full details.

**13 Personal injury work**

If you placed an entry under category 27 under section 10 of the proposal (Area of practice), please answer the following question.

13.1 Please advise your current personal injury work by percentage.

Clinical negligence  %

Occupational disease  %

All other personal injury (e.g. RTA, employers'/public liability etc).  %

13.2 How many open claimant personal injury cases does your practice currently have?



13.3 What was your average personal injury settlement over the last twelve months? £

13.4 What was your highest personal injury settlement over the last twelve months? £

13.5 Please estimate the percentage of personal injury work (claimant) you currently have in each of the following categories

Small claims  % Fast track  % Multi track  %

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

13.7 Please state the number of fee earners in your practice who undertake or have undertaken personal injury work.

	Last completed year	Prior completed year (-1)	Prior completed year (-2)
Solicitors			
Other qualified fee earners			
Non-qualified fee earners			

13.8 Do you undertake work or accept any referrals from Claims Management Companies or referral networks? If 'Yes', please provide name(s) and full details. Yes  No

13.9 Does the practice vet personal injury cases for a third party? If 'Yes', please provide full details. Yes  No

13.10 What percentage of your current cases have ATE insurance?  %

Please provide the names of all ATE insurance providers you deal with or have dealt with in the last two years

13.11 Please name any ATE insurance provider that you place more than 20% of your business with and specify the percentage for each.

13.12 Have your files been audited or has an audit been proposed by any underwriters or funders? Yes  No

If 'Yes', please provide full details, including copies of all correspondence relating to any audit or proposed audit.

13.13 Do you receive, or have you received, any time in the last three years, any commission or other financial incentive from any insurer? Yes  No

If 'Yes', please provide details.

**Please provide a copy of any standard letter that you have advising clients about the choice of ATE insurer and any commissions, financial incentives or similar that you receive.**

13.14 Do you use any particular provider for expert reports in more than 20% of your cases? Yes  No   
If 'Yes', please provide full details, including identity of provider, percentage of cases and background to the level of instructions.

13.15 Do you have an active diary / deadline management system in place for personal injury? Yes  No

13.16 How do you monitor your diary / deadline management system in place for personal injury?

**14 Matrimonial work**

If you placed an entry under category 23 under section 10 of the proposal (Area of practice), please answer the following question.  
Have you made any matrimonial settlements involving capital above £1,000,000 or regular annual payments above £100,000 in the last 12 months? Yes  No

**15 Wills and Probate work**

If you placed an entry under category 28 or 31 under section 10 of the proposal (Area of practice), please answer the following question.  
Is the practice a member of Certainty Will Register, and does the practice utilise their Will search service? Yes  No

If 'No', how does the practice ensure that the Will they are provided with is definitely the final Will?

**16 Other work**

- 16.1 Do you undertake work in any of the following areas:
- IT Law? Yes  No
  - Entertainment Law? Yes  No
  - Sports Management? Yes  No
  - Insolvency? Yes  No
  - Libel / Defamation? Yes  No

16.2 Do you specialise in any particular area of work or for any particular group of clients other than indicated above? If 'Yes', please provide details. Yes  No

16.3 Does your firm provide any services which might reasonably be regarded as unusual for a firm of solicitors to provide? If 'Yes', please provide details. Yes  No

**17 Risk management**

17.1 Please provide the name and status of the person responsible for risk management in your firm.  
Name:  Status:

17.2 Are you accredited with LEXCEL? Yes  No   
If 'Yes', please provide date of accreditation

17.3 Are regular file audits undertaken in each department including Principals' files? Yes  No   
 If 'Yes', how many files are audited, how often and by whom?

17.4 Who is authorised to give undertakings on behalf of the practice?

17.5 Who is entitled to authorise payment from the client account?

17.6 Does the practice provide professional services for any client in which any Principal holds a partnership/directorship or has any other financial interest? Yes  No

If 'Yes', are these services always carried out by a Principal/solicitor other than the Principal connected with the client? If 'No', please provide details Yes  No

17.7 Is there any further information relating to risk management procedures within your practice that you consider would be of interest to insurers?

**18 Claims and circumstances**

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

Insurance Year 2002-2003	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2010-2011	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2003-2004	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2011-2012	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2004-2005	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2012-2013	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2005-2006	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2013-2014	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2006-2007	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2014-2015	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2007-2008	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2015-2016	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2008-2009	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2016-2017	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Insurance Year 2009-2010	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Insurance Year 2017-2018	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

If 'Yes' to any of the above insurance years, please provide with this form:

**Claims information from other qualifying insurers or the assigned risks pool for all circumstances, incidents or claims reported since 01/09/2001 by your practice or any practice to which you are a successor practice.**

18.2 Have any circumstances, incidents or claims reported by you or any prior practice in the past five years arisen as a result of the dishonesty of any principal, member or employee of the practice? Yes  No

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

18.3 Are you aware of any circumstances, incidents, shortcomings in or criticisms of your work (even though regarded by you as unjustifiable), or claims of which you are aware, after making full enquiry of all principals and employees of your practice, that you have **Not** reported to your current or any prior insurers? If 'Yes', please explain on a separate sheet

Yes  No

**Please note that you have an obligation under your current professional indemnity insurance policy to notify these matters to your insurer, any new insurers will ask you to confirm that you have done so before cover can be put in place.**

**19 Current coverage**

19.1 Has your practice, or any prior practice ever been in the Assigned Risk Pool (ARP)? If 'Yes', please provide full details on a separate sheet

Yes  No

19.2 Has any qualifying insurer refused to offer your practice, or any prior practice, terms for Professional Indemnity insurance? If 'Yes', please explain on a separate sheet

Yes  No

**20 Sanctions**

Do you have any connection to customers or suppliers operating in the following countries or are any form of product or service sourced from or passed through these countries or indeed any employees who would visit any of these countries on business:

Yes  No

Afghanistan, Balkans (Former Rep. of Yugoslavia & Serbia), Belarus, Burundi, Central African Republic, DR Congo, Egypt, Eritrea, Guinea-Bissau, Guinea, Iraq, Lebanon, Libya, Mali, Sierra Leone, Somalia, South Sudan, Sudan, Tunisia, Ukraine, Venezuela, Yemen or Zimbabwe.

**21 Disciplinary proceedings**

Has any proposer / director / partner of the business:

- (i) In the last six years been the subject of a disciplinary proceeding by any Professional organisation? Yes  No
- (ii) Been declared insolvent or bankrupt or been the subject of bankruptcy proceedings? Yes  No
- (iii) Been the subject of a County Court judgment (or Scottish equivalent) or are there any proceedings pending? Yes  No
- (iv) Been a director or partner in any business which is or has been the subject of a winding up or administrative order, or receivership or other insolvency proceedings? Yes  No
- (v) Had a proposal form declined? Yes  No
- (vi) Had an insurance cancelled? Yes  No
- (vii) Had special terms imposed? Yes  No
- (viii) Been convicted or charged with any criminal offence, or have a prosecution for such an offence pending? Yes  No
- (ix) Been prosecuted or served with a notice of intended prosecution or a prohibition notice in connection with a breach or alleged breach of any health and safety legislation? Yes  No

If 'Yes', please provide details:

**22 Quotation requirements**

Please give details of the firm's current Professional Indemnity Insurance.

**Do not complete this question if you are already a client of Bluefin**

Limit of Indemnity	Excess	Premium	Name of Insurer
£	£	£	

Please advise your requirements

	Option 1	Option 2	Option 3
Limit of Indemnity	£	£	£
Excess	£	£	£

The minimum cover required is £2million for a partnership or £3million for LLP's and companies registered at Companies House.

**23 Significant change**

In the coming year do you expect there to be any significant change to or within your practice?  
If 'Yes', please give details.

Yes  No

**24 Other material information**

Is there any other material information that may be relevant to this application?  
If 'Yes', please give details.

Yes  No

**People consulted in completion of the form**

Please list below the people you have consulted to assist with the completion of this form, including any external providers:

Name	Position	Location

Please continue on a separate sheet if necessary.

## Confirmation

### Your duty to make a fair presentation of the risk

You must make a fair presentation of the risk to us when you take out, renew or amend your policy. A fair presentation requires you to tell us about all facts and circumstances which may be material to the insurance or sufficient information to put a prudent insurer on notice that further enquiries are needed, in a clear and accessible manner. Material facts are those which are likely to influence an insurer in the acceptance or assessment of the terms or pricing of your policy. If you are in any doubt as to whether a fact is material, you should tell us about it.

If you fail to make a fair presentation of the risk, where that failure is deliberate or reckless, the insurer may treat your policy as if it had not existed, refuse to pay any claims and keep the premium paid. Where the failure is not deliberate or reckless but the insurer would not have accepted the policy had you told them about a material fact or circumstance, the insurer may treat your policy as if it had not existed and refuse to pay any claims but must return the premium. In other cases, the insurer may only pay part of the value of your claim or impose additional terms.

For these reasons, it is important that you check all of the facts, statements and information set out in the documentation provided by us are complete and accurate, and that you answer any questions completely and accurately. If there is more than one person involved in your business or employed by you, you should check with them, where appropriate, that the facts and statements that you make are complete and accurate.

**If any of the facts, statements and information in this document, or any additional information provided are incomplete or inaccurate, you must contact us immediately. Failure to do so could invalidate your policy or lead to a claim not being paid.**

I declare that the above statements and particulars are true, full enquiry having been made, and I have not omitted, suppressed or misstated any material facts and undertake to inform the insurer of any change to any material fact. I understand that the information provided will be used by the insurer and/or their agents to arrange and administer the insurance and in handling claims which may necessitate sharing information with third parties and that information may be shared with business partners to deliver any additional services provided with this insurance.

**A copy of this proposal should be retained by you for your own records**

This form must be signed by a principal of the firm

Signature: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Print name \_\_\_\_\_ Position: \_\_\_\_\_

## Document checklist

**Before posting, please ensure that you have included the following documents: -**

- This form, fully completed, signed and dated
- A sheet of your practice's current **headed** notepaper.
- Copies of the **firms accounts** for the last two financial years.

and, if applicable, please provide the following:

- Claims information for all claims and circumstances reported to qualifying insurers or the Assigned Risk Pool, by your practice and any practice to which you are a successor practice.
- If you are a newly established practice, a Curriculum Vitae for every Principle of the practice and your Business Plan and Cash Flow Statement.
- A copy of all reports issued by the SRA, LCS (formerly the CSS/OSS) Forensic Investigation Unit, Disciplinary Tribunal and /or regulatory body.
- Any information provided on separate sheets.

Please return this application form along with any other supplementary information sheets to the address detailed below:-

Bluefin Professions | Castlemead | Lower Castle Street | Bristol | BS1 3AG  
t: 0117 929 3344 | enquiry.professions@bluefingroup.co.uk | www.bluefinprofessions.co.uk



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**Solicitors details continued**

Title	Solicitor's full name	Date of birth (DD/MM/YYYY)	Solicitor status (Principal / Member / Assistant / Consultant)	Full or Part time	Roll number (As shown on practising certificate)	No. years practising since admission in England & Wales (excluding career breaks)
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**Additional information**

Section	
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# Definitions



## 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, corporate insolvency and taxation.

### Commercial/Corporate work for public companies

This covers all work relating to public limited companies, including mergers and acquisitions, corporate trusts, corporate insolvency and taxation.

### 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. This includes the drafting of leases and related documentation.

### 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.

### Debt collection

Collection of undisputed or undefended debts. Debt recovery work that involves a dispute, including the defence of a debt action, should be classified as Litigious work other.

### 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 and employees, 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 Conduct Authority

This covers financial advice and services directly regulated by the Financial Conduct Authority under the Financial Services and Markets Act 2000. If you have indicated a percentage in this area, a separate financial services questionnaire will need to be completed.

### 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 and Tenant Act 1954 claims, rent reviews, rights to manage, possession, and dilapidations. Does not include the creation/drafting of contractual rights.

### 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 includes the provision of written material for publication.

### Offices and appointments

This does not include appointment as an Officer or Director of a company but does include acting as a clerk 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.

### Parliamentary agency

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

### Property management, valuations and real estate agency

This covers property management, valuations and real estate agency 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.

### Principal

A reference to a Principal covers a sole practitioner, a partner in a partnership, a member of a Limited Liability Partnership and a director of a limited company.

### 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.