

Application to become an accredited probate firm



To ensure we have all the information we need to process your application, please ensure you are completing the latest version of this form. The most up to date version is linked from [icaew.com/regulatoryapplications](https://www.icaew.com/regulatoryapplications), or please email regulatorysupport@icaew.com for a copy.

We aim to provide a decision on your application as soon as possible. This is usually within 8-12 weeks of receiving a fully completed application form and all supporting documentation.

INTRODUCTION

Firms may apply to become **accredited probate firms** under the Legal Services Act 2007 (the Act) either:

- as an **authorised firm**: all the principals ie, directors, partners and members of an LLP (and shareholders in the case of a company) have to be individually authorised to undertake probate work; or
- as a **licensed firm**: not all the principals (and shareholders in the case of a company) **need to be** individually authorised to undertake probate work (although at least one principal needs to be); however, additional requirements apply.

If, in applying for probate, you intend to change the structure of your firm, this may affect your firm's eligibility to use the description 'chartered accountants' and/or be covered by the Practice Assurance scheme. We therefore recommend that you first consult the [Use of the description 'Chartered Accountants' Regulations](#) and the [Practice Assurance Regulations](#) before you make any change.

HOW TO COMPLETE THIS APPLICATION FORM

Where necessary, we give guidance before a section. Please read the guidance before you complete the questions in each section.

Fill in this form electronically, using the TAB key to move from one answer to the next. If you need more space for an answer, please attach additional sheets.

In addition to this application form, you will need to submit a separate application form for each individual who is to be authorised to conduct probate work on the firm's behalf. You can download these application forms from [icaew.com/probate](https://www.icaew.com/probate)

If you are applying to become a licensed firm, you will need to complete an application form for a Head of Legal Practice (HoLP) and Head of Finance and Administration (HoFA), and for any non-authorised person who is an owner and holds a material interest (see [Probate Regulation 6.2](#)) in the firm. You can download these application forms from [icaew.com/probate](https://www.icaew.com/probate)

Whether applying for authorisation or a licence, if your firm includes principals who are not members of ICAEW, the Institute of Chartered Accountants of Scotland (ICAS), Chartered Accountants Ireland (CAI) or [another approved regulator](#), or are not already accredited probate firms, registered auditors, DPB-licensed firms or affiliates under other ICAEW regulations, these principals will need also to apply for probate affiliate status. You can download an application form from [icaew.com/probate](https://www.icaew.com/probate)

Please enclose with your application a copy of the firm’s proposed letterhead.

To be eligible for accreditation, a firm must have in place professional indemnity insurance (PII) as required by the **PII** and **Probate Regulations**. We recommend that you discuss with your PII broker whether coverage under any existing or any future PII policy will cover authorised work (as defined in section 1.6 of the Probate Regulations).

Please enclose a copy of the firm’s PII policy schedule and your insurer’s details with this application.

To complete section 22 on diversity, you will need to conduct an initial diversity monitoring exercise and/or consider what steps your firm will take periodically to monitor the diversity of individuals in your firm before submitting your application. ICAEW has created a model questionnaire which can be downloaded from icaew.com/probate

The entity making this application may not hold itself out as an accredited probate firm until we have confirmed in writing that your application has been successful.

Contact us

If you have any questions as you fill in this form, please call +44 (0)1908 546 302. This may avoid delays in dealing with your application.

If you have any questions about using the description ‘chartered accountants’, please speak to our Advisory Services team on +44 (0)1908 248 250.

If you have any questions about the Practice Assurance scheme, please email amlr@icaew.com

1 APPLICATION TYPE

Does your firm wish to apply for authorisation or a licence? Please tick the relevant box.

An authorised firm is one in which all the principals ie, all partners, directors or members of an LLP (and shareholders in the case of a company) are individually authorised to conduct probate work.	Authorised firm
A licensed firm is one in which not all principals (and shareholders in the case of a company) are individually authorised to conduct probate work (although at least one principal must be authorised).	Licensed firm

2 FIRM DETAILS

Name of firm applying to become an accredited probate firm	Firm number C00
Is this a new firm?	YES NO
Is this firm the result of a merger? If ‘YES’, please give details on a separate sheet and provide confirmation from the other firm’s Contact Partner.	YES NO
Is this firm the result of a dissolution? If ‘YES’, please give details on a separate sheet and provide confirmation from all principals.	YES NO
Is this firm the result of an incorporation? If ‘YES’, please give details of the change in legal status on a separate sheet.	YES NO
If you have answered NO to all of the above, please explain further (for example, is your firm applying for probate registration for the first time?)	

Name and position in the firm of the probate contact partner. In the case of a licensed firm, this will be the Head of Legal Practice.

Name

Position in firm

If the probate contact partner does not work from the principal office of the firm, please give their office address.

Address

Postcode/
zipcode

Phone

Email address

If you're applying because of a merger, incorporation or dissolution, will all previous entities continue to trade as unregulated entities or will they cease to trade?

Unregulated

Cease to trade

See attached

Are any previous entities currently registered with ICAEW as a training office?

YES

NO

If 'YES', will the training office need to be transferred to this entity?

YES

NO

Training office number (if applicable)

For ICAEW use. L00

Is this a re-application? If 'YES', please give details on a separate sheet.

YES

NO

Have you included a copy of your firm's proposed letterhead with your application?

YES

NO

Does your firm use (or wish to use) the description 'Chartered Accountants'?

YES

NO

If 'YES', select one of the following:

Your firm automatically meets the **eligibility criteria** to use the description

Your firm automatically meets the **eligibility criteria** to use the description

Your firm automatically meets the **eligibility criteria** to use the description

Our website includes further **guidance** on the use of the description 'Chartered Accountants', including details of the process to **apply** for a dispensation.

Does your firm meet ICAEW's 'member firm' definition in the **Principal Bye-laws**? YES NO

If 'NO' does ICAEW supervise your firm under a contract for Practice Assurance services? YES NO

Who is (or will be) your firm's anti-money laundering supervisor?

Please refer to our guidance to help establish if your firm is automatically supervised by ICAEW or whether a contract is needed.

Name of Practice Assurance principal

3 TYPE OF PRACTICE

Please tick the relevant box

Sole practice

Partnership

Limited liability partnership

Corporate practice

Other (Please Specify)

4 OFFICES

Principal office: the office to which ICAEW will send all communications regarding a firm's probate accreditation

Address

Postcode/
zipcode

ICAEW use. L00

Phone

Company/LLP number (if applicable)

Is the registered office situated in England or Wales? YES NO

Firm's web address

Do you intend to conduct probate work from this office? YES NO

Branch office				
Address			Postcode/ zipcode	
ICAEW use. L00				
Phone		Company/LLP number (if applicable)		
Is the office situated in England or Wales?			YES	NO
Firm's web address				
Do you intend to conduct probate work from this office?			YES	NO
Branch office				
Address			Postcode/ zipcode	
ICAEW use. L00				
Phone		Company/LLP number (if applicable)		
Is the office situated in England or Wales?			YES	NO
Firm's web address				
Do you intend to conduct probate work from this office?			YES	NO

5 TRADING NAMES

Include all offices and trading names of the firm, excluding market day offices. Please continue on a separate sheet if necessary.

Trading name: an alternative name used by the firm to practise under.

Trading name

Do you intend to use the trading name when conducting probate work?

YES

NO

ICAEW use. L00

Trading name
(if applicable)

Do you intend to use the trading name when conducting probate work?

YES

NO

ICAEW use. L00

6 PRINCIPALS – SOLE PRACTITIONERS, PARTNERS, DIRECTORS, LLP MEMBERS

In this section, please list all the principals of the firm, indicating those whom the firm wishes to designate as authorised individuals.

Authorised individuals: the individuals who can undertake, or control the undertaking of, probate work on the firm's behalf. Only principals and employees who hold a probate qualification are eligible to apply to become authorised individuals, not consultants or subcontractors. Where appropriate, each individual will need to complete a separate 'individual' application form which you can download from icaew.com/probate

Membership number: if an individual is a member of ICAEW or another professional body, please give this number if known.

Professional body: if an individual is a member of a professional body (eg, ICAEW) please give its name.

Office: the location of the office from which the principal or employee normally practises.

Authorised regulator: the name of the approved regulator that has authorised the individual to conduct probate work or to whom they have applied.

Whether applying for authorisation or a licence, if any principal is not a member of ICAEW, ICAS, CAI, another approved regulator, or an affiliate under the ICAEW's Audit Regulations, Insolvency Regulations or Use of the Description Regulations or DPB (Investment Business) Handbook, a probate affiliate form must be completed.

Membership number	Surname	First names	Date of birth	Office location	Professional body	PC held?	Authorised individual?	Authorised regulator	% of total voting rights
						YES	YES		
						NO	NO		
						YES	YES		
						NO	NO		
						YES	YES		
						NO	NO		
						YES	YES		
						NO	NO		
						YES	YES		
						NO	NO		

7 EMPLOYEE AUTHORISED INDIVIDUALS

Please list all the employees that the firm wishes to designate as authorised individuals and continue on a separate sheet if necessary.

Authorised individuals: the individuals who can undertake, or control the undertaking of, probate work on the firm's behalf. Only employees who hold a probate qualification are eligible to apply to become authorised individuals, not consultants or subcontractors. Each individual listed below will need to complete a separate 'individual' application form which you can download from icaew.com/probate

Membership number: if an individual is a member of ICAEW or another professional body, please give this number if known.

Professional body: if an individual is a member of a professional body (eg, ICAEW) please give its name.

Office: the location of the office from which the principal or employee normally practises.

Authorised regulator: the name of the approved regulator that has authorised the individual to conduct probate work.

Membership number	Surname	First names	Date of birth	Office location	Professional body	PC held?	Authorised regulator
						YES	
						NO	
						YES	
						NO	
						YES	
						NO	
						YES	
						NO	
						YES	
						NO	
						YES	
						NO	

8 HEAD OF LEGAL PRACTICE AND HEAD OF FINANCE AND ADMINISTRATION

This section is only for firms applying to become licensed firms. If your firm wishes to become an authorised firm, please go to section 9.

Please provide details of the individuals your firm wishes to designate as Head of Legal Practice (HoLP) and Head of Finance and Administration (HoFA).

The HoLP must be an authorised individual. The same person can be both a HoLP and a HoFA.

	Membership number	Surname	First names	Date of birth	Office location	PC held?	Authorised individual?	Authorised regulator	% of total voting rights
HOLP						YES	YES		
						NO	NO		
HOFA						YES	YES		
						NO	NO		

9 AUTHORISED INDIVIDUALS, HEADS OF LEGAL PRACTICE, HEADS OF FINANCE ADMINISTRATION

All individuals who are to be designated as authorised individuals, Heads of Legal Practice or Heads of Finance and Administration must complete a separate application form for individuals. You can download this application form from icaew.com/probate. Please give the number of individual application forms you have enclosed with this application.

I have enclosed _____ application forms for individuals with this application.

10 MANAGEMENT BOARD

Does the firm have a management or decision making board (This is the board of directors in the case of a company)? YES NO

If yes, whether applying for authorisation or a licence, if the firm has a management board, please supply the following details and continue on a separate sheet if necessary. Please also provide, on a separate sheet, a chart showing the structure of the board and reporting lines for those conducting probate work.

Membership number	Surname	First names	Office location	PC held?	% of total voting rights	Authorised individual?	Authorised regulator
				YES		YES	
				NO		NO	
				YES		YES	
				NO		NO	
				YES		YES	
				NO		NO	
				YES		YES	
				NO		NO	
				YES		YES	
				NO		NO	

11 COMPLIANCE ARRANGEMENTS

Do you have compliance arrangements in place for the firm?

YES

NO

If you have answered 'Yes', please outline below these arrangements. You may continue on a separate sheet.

If you have answered 'No', please explain below why you do not have compliance arrangements for the firm. You may continue on a separate sheet.

12 - SHAREHOLDINGS OF A CORPORATE PRACTICE

This section is for listing all the shareholders of the corporate practice, both voting and non voting. Please detail all shareholdings. NB: The shareholdings (with voting rights) must total 100%. If your firm is not a corporate practice, go to section 14.

Member/ Firm number	Name/Address of shareholder	Number of shares held	% of total voting rights	Type of share	Shareholder
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other

Member/ Firm number	Name/Address of shareholder	Number of shares held	% of total voting rights	Type of share	Shareholder
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other
				Voting	Director
				Non voting	Employee
					Other

Please confirm the total number of voting shares issued for the firm.

Please confirm the total number of non voting shares issued for the firm.

13 LICENSED FIRMS: NON-AUTHORISED OWNERS AND MATERIAL INTERESTS (IE, PARTNERS, MEMBERS OF AN LLP, DIRECTORS OR SHAREHOLDERS)

Under the Act, there are special requirements for non-authorised owners who hold a material interest in a licensed firm. Such persons must complete a separate application form for non-authorised owners because ICAEW needs specifically to approve these persons. You can download this application form from icaew.com/probate

In this section, please list all the non-authorised owners who hold a material interest in the firm and continue on a separate sheet if necessary.

The definition of what constitutes a material interest is set out in Probate Regulation 6.2. In determining whether the threshold for a material interest has been reached, the interests of the person's associates need also to be taken into account. The definition of 'associate' is set out in Probate Regulation 6.3.

Membership number	Surname	First names	Date of birth	Office location	Type of material interest
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Please give the number of non-authorised owner application forms you have enclosed with this application

14 PROBATE CONNECTED ENTITIES

Connections - Please list any connected firm(s) accredited for probate with ICAEW or another approved regulator, registered for audit with, or applying for registration to, one of the three Institutes of Chartered Accountants or the Association of Chartered Certified Accountants, or the Association of Authorised Public Accountants.

Is the firm part of a UK grouping? YES NO

If 'Yes', please give details

Name

Head office

Address

Postcode/
zipcode

Connected firm - any practising firm which has one or more principals of your firm among its principals.

Is the firm part of an international grouping? YES NO

If 'Yes', please give details

Name

Head office

Address

Postcode/
zipcode

National links - UK grouping - any association or federation of firms operating in the UK. Please give the name and head office address.

Is the firm part of a UK grouping? YES NO

If 'Yes', please give details

Name

Head office

Address

Postcode/
zipcode

International connected entities - An international grouping is any association or federation of firms across national boundaries. Please give the name and head office address

Is the firm part of an international grouping? YES NO

If 'Yes', please give details

Name

Head office

Address

Postcode/
zipcode

15 REGULATION AND SUPERVISION

Is the firm currently authorised for probate work, or has it (or any former entities) previously been authorised or applied to be authorised for probate work by another regulatory body in England and Wales? YES NO

If 'Yes', which body?

Solicitors Regulation Authority

Council of Licensed Conveyancers

ICAS

ACCA

Other (please specify)

Please provide details of the previous application

16 STAFF IN EACH OFFICE

The total number of principals and the total number of authorised individuals should agree with the totals in sections 6 and 7.

Subcontractors and consultants should be included as staff in the appropriate column. These individuals cannot be authorised individuals

Office number or location	Principals		Other staff		Total staff
	Authorised Individuals	Non-authorised Individuals	Authorised Individuals	Professional staff Admin staff	
L00					
L00					
L00					
L00					
L00					
L00					
L00					
L00					
L00					
Total					

17 PRACTICE INCOME

For this purpose, fee income excludes the re-charge of out-of-pocket expenses and VAT. If the firm has not started trading, please give a forecast of the first year's trading figures in relation to probate work.

Total fee income from all sources £

Financial year ending

Estimated annual fee income from probate and probate-related services (see section 18) £

18 NATURE OF PROBATE-RELATED WORK

Does the firm wish to deliver any of the following probate-related services?

Will-writing services	YES	NO
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Provision of advice in connection with the drafting of wills (eg, IHT and trust planning)	YES	NO
---	-----	----

Activities carried out before the application for a grant of probate or letters of administration (eg, IHT calculations)	YES	NO
--	-----	----

Assistance to an executor with estate administration	YES	NO
--	-----	----

Estate administration as an executor	YES	NO
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Is the firm likely to hold clients' and/or estate monies in connection with the above activities?	YES	NO
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If you have ticked 'No' to all the above, please explain what nature of probate work you intend to do.

Although the above areas of probate-related work are not regulated by ICAEW, this information is required to help us understand your business.

19 STATEMENT ON ACCESS TO JUSTICE

It is a requirement of the Act that you explain how your firm's application to become an authorised probate firm will promote **access to justice**.

Examples of the type of explanation you might give are: access to justice may be promoted through improved access to services geographically or through technology; it may also be improved by making services more competitive for consumers or by delivering services in new ways. When setting out your explanation, you should provide an analysis of how it specifically relates to your firm. Please continue on a separate sheet if necessary.

20 STATEMENT ON THE REGULATORY OBJECTIVES

For a list of the regulatory objectives and professional principles, please refer to section 1 of the Act, legislation.gov.uk/ukpga/2007/29/contents

Are you aware of any issues affecting your firm that might compromise the regulatory objectives if this application is successful and you begin to undertake probate work?	YES	NO
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Is anyone in your firm (including any owner or shareholder) subject to duties that might conflict with the firm's ability to carry out probate work in accordance with the probate regulations and the professional principles contained in the Act?	YES	NO
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If 'Yes', please outline the steps your firm will take to mitigate the risk of conflict and/or to address this issue.

21 STATEMENT ON IMPROPER INFLUENCE

Please outline the steps your firm will take to ensure that authorised individuals can conduct probate work independently and free from influence that might compromise their ability to adhere to the Probate Regulations and the professional principles set down in the Act (see section 1 of the Act).

Does the firm have any contractual or other arrangements with another entity that may allow that other entity to have any influence that may affect, or could be perceived as affecting, how probate work is carried out?

YES

NO

If 'Yes', please attach details of any safeguards designed to prevent such influence.

22 DIVERSITY

One of the Legal Services Act's regulatory objectives is to encourage an independent, strong, diverse and effective legal profession (legislation.gov.uk/ukpga/2007/29/contents).

To meet this objective, the Legal Services Board (LSB) has published guidance stating that firms should have arrangements in place for monitoring periodically the diversity of individuals in their firm.

To satisfy the LSB's requirement, firms are encouraged to collect, collate and publish data on the diversity of their workforce. This information should also be supplied to ICAEW in summary format so that ICAEW can publish data showing the diversity of the entire workforce of firms offering probate services. Only summary information will be reported and your firm will not be identified.

ICAEW has created a model questionnaire that firms can download and distribute to their staff. If firms do not have processes in place to ensure the anonymity of their staff, we provide the option of an online questionnaire. Go to icaew.com/probate for more information.

Please outline the steps your firm will take periodically to monitor the diversity of the individuals in the firm.

If these are available, please summarise the results of your initial diversity monitoring below and attach your results to this form when submitting your application. On a periodic basis, we will request updates to this information. If the information is not available at the time of application, a follow-up request will be made within six months of application.

Have the diversity monitoring results been provided in a separate document?

YES

NO

23 PROFESSIONAL INDEMNITY INSURANCE

An authorised probate firm that carries out or intends to carry out authorised work (as defined in regulation 1.6 of the Probate Regulations) must have professional indemnity insurance (PII) under ICAEW's PII Regulations with a minimum level of indemnity of £500,000 per claim.

Please enclose with this application a copy of your firm's PII policy schedule or endorsement which shows the entities and sums insured.

Cover arranged with (name of participating insurer)

Limit of indemnity insurance

Excess

Period of cover from to

Have you enclosed a copy of your firm's full PII policy and schedule or endorsement with this application? YES NO

Does the PII policy schedule, or endorsement, refer to the firm name and all trading names (if applicable)? YES NO

24 OFFICES WITHOUT AN AUTHORISED INDIVIDUAL

Will probate work be carried out from any office listed in section 5 where there is no resident authorised individual? YES NO

If 'Yes', please set out details of the probate supervision arrangements at each of these offices.

25 FIT AND PROPER

The Act requires authorised persons to be fit and proper to carry out probate work. Under the Probate Regulations, any firm seeking accreditation must satisfy ICAEW that it is fit and proper. It is for each firm to ensure that all its principals, and those employees involved directly or indirectly with probate work, are fit and proper. The fit and proper requirement does not normally extend to administrative or secretarial staff but does cover practice support staff such as computer specialists.

If a firm has any doubts about the fit and proper status of any of its principals or employees, please contact Regulatory Support on +44 (0)1908 546 302.

If a firm has merged in the last 10 years, the questions relate to every constituent part of the merged firm.

A 'Yes' answer to any of the questions in this section will not automatically result in a firm being refused accreditation. The Probate Committee may, however, wish to make further enquiries before reaching a decision.

If the Probate Committee finds out about any matters which a firm does not disclose, this will be viewed very seriously. It could jeopardise the firm's application or continuing accreditation.

If you are a sole practitioner, or a sole director or sole shareholder of a corporate practice, these questions apply to you personally as well as to the firm.

The questions relate to all principals, authorised individuals and previous practices.

The answers will be 'Yes' or 'No', but a 'Yes' answer will need further explanation.

The word 'firm' indicates all sole practitioners; principals; sole directors; sole shareholders of a corporate practice; authorised individuals and previous practices.

FINANCIAL INTEGRITY AND RELIABILITY

Please note that this will include any sanctions issued against the firm and/or its principals by ICAEW.

In the last 10 years, has the firm made any compromise or arrangement with its creditors, or otherwise failed to satisfy creditors in full?	YES	NO
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In the last 10 years, has the firm been the subject of any insolvency proceedings?	YES	NO
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CIVIL LIABILITIES

In the last five years, has the firm (just the entity that is making this application) been the subject of any relevant civil action relating to its professional or business activities which resulted in a judgment or finding against it by a court, or a settlement (other than a settlement consisting only of the dismissal by consent of a claim against it and the payment of its costs) being agreed?	YES	NO
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GOOD REPUTATION AND CHARACTER

There is no need to mention cautions or offences which are spent for the purposes of the Rehabilitation of Offenders Act 1974 or, in the case of a firm which is a sole practice, offences committed by any individual before the age of 17 (unless committed within the last 10 years). However, you do need to mention all unspent offences under the Road Traffic Acts which led to a Court hearing and a penalty, financial or otherwise, even if you did not attend court.

In the last 10 years, has the firm been:

- | | | |
|--|-----|----|
| • convicted by a court of any criminal offence; | YES | NO |
| • refused or restricted in the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required; | YES | NO |
| • refused entry to any professional body or trade association, or did it decide not to continue with an application; | YES | NO |
| • reprimanded, warned about future conduct, disciplined or publicly criticised by any professional or regulatory body | YES | NO |
| • made the subject of a court order at the instigation of any professional or regulatory body; or | YES | NO |
| • investigated on allegations of misconduct or malpractice in connection with its professional or business activities that resulted in a formal complaint being proved but no disciplinary order being made. | YES | NO |

Is the firm currently undergoing any investigation or disciplinary procedures as described above?	YES	NO
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If there has been any disciplinary issue(s), please state in the box what action your firm has taken in order to avoid this type of issue occurring in the future.

Is there any other information relevant to any of the above questions which the firm should disclose to ICAEW? If 'Yes', please specify details on a separate sheet.

YES

NO

26 MAINTAINING COMPETENCE

Please tick the CPD activities which authorised individuals and others use regularly to maintain competence and keep up to date with probate legislation, regulations and related matters.

Online learning/e-learning	Authorised individuals	Employees engaged in probate work under supervision	Other
DVD subscription	Authorised individuals	Employees engaged in probate work under supervision	Other
Update service	Authorised individuals	Employees engaged in probate work under supervision	Other
In-house courses	Authorised individuals	Employees engaged in probate work under supervision	Other
In-house technical discussion group	Authorised individuals	Employees engaged in probate work under supervision	Other
Training consortium or another firm's in-house courses	Authorised individuals	Employees engaged in probate work under supervision	Other
ICAEW/District Society course	Authorised individuals	Employees engaged in probate work under supervision	Other
Other commercial courses	Authorised individuals	Employees engaged in probate work under supervision	Other
Local discussion groups	Authorised individuals	Employees engaged in probate work under supervision	Other
Private reading: technical papers, accountancy, journals, articles, newsletters	Authorised individuals	Employees engaged in probate work under supervision	Other
Access to technical library	Authorised individuals	Employees engaged in probate work under supervision	Other
Focused discussion with more experienced colleagues	Authorised individuals	Employees engaged in probate work under supervision	Other

Other (please give further details)	Authorised individuals	Employees engaged in probate work under supervision	Other
Will individual training records be maintained for all authorised individuals and employees involved in probate work?		YES	NO
Name of the principal responsible for assessing the competence of staff engaged in probate work			
Name of the principal responsible for ensuring that authorised individuals and staff receive relevant training			
Does the firm intend to use a probate manual and/or probate documentation?		YES	NO
If 'Yes', is this commercially available?		YES	NO
If 'Yes', please name the manual.			
Does the firm intend to subscribe to an updating service for the probate manual?		YES	NO
If 'No', how do you propose keeping authorised individuals and employees in your firm up to date in probate law and practice?			

27 CONTROL OF PROBATE WORK

Does the firm have appropriate arrangements to deal with:									
fit and proper considerations	YES	NO	recording of work done	YES	NO	training standards	YES	NO	
independence and integrity	YES	NO	review procedures	YES	NO	discipline	YES	NO	
confidentiality	YES	NO	recruitment	YES	NO	reporting and supervisory responsibilities in the body	YES	NO	
conduct of probate work (including acting in the best interests of client)	YES	NO	staff appraisal	YES	NO	complaints-handling	YES	NO	
clients' money (if held)	YES	NO							

28 ALTERNATE ARRANGEMENTS

The next question is for sole practitioners or corporate practices with only one shareholder or director.

You must have arrangements in place for the appointment of an alternate in the case of death or incapacity. Please refer to the [Probate Regulations](#) and the guidance given under regulation 3.12.

Please provide the following information.

Alternate's name

Alternate's home address

Postcode/
zipcode

Alternate's email address

Is the alternate authorised to conduct probate work?

YES

NO

If 'Yes', please state the name of the alternate's approved regulator.

If 'No', have you made the alternate aware that probate work must be handled by a person who is authorised to carry it out?

YES

NO

29 CONTINUING OBLIGATIONS

Please confirm that you have read and understood [probate regulation 2.7 - Continuing Obligations](#) and confirm that the Head of Legal Practice will report any changes detailed in this regulation to the regulatory support department (regulatorysupport@icaew.com) within the required 10 days, including the submission of any required application forms.

YES

NO

30 SIGNATURE AND CONFIRMATIONS

I certify that, to the best of my knowledge and belief, the information in, or provided with, this application is a true and accurate statement of the firm's circumstances.

I confirm that:

- all relevant information has been disclosed;
- the control of this firm is in accordance with the Probate Regulations;
- I have taken steps to ensure that all principals and employees involved in probate work are fit and proper persons;
- this firm has professional indemnity insurance in place that covers authorised work as required by the PII and Probate Regulations; and
- this firm will comply with the Practice Assurance Regulations as if it were a member firm.

If this application is approved, I confirm that:

- this firm will comply with the Practice Assurance Regulations;
(If your firm is not a member firm, as defined in the principal bye-laws which can be found at icaew.com/regulations, you will be required to sign an agreement for Practice Assurance services. For further information about Practice Assurance fees please email amlr@icaew.com)
- **this firm will comply with the Probate Regulations at all times;**
- this firm will notify ICAEW immediately of any matter which indicates the body has ceased, or may in the future cease, to comply with the Probate Regulations;
- this firm will deal with ICAEW in an open and cooperative manner and will inform ICAEW promptly of anything concerning the firm as required by the Probate Regulations;
- this firm will inform all principals, employees and shareholders of the duties contained in sections 90 and 176 of the Act;
- this firm acknowledges that ICAEW may make enquiries of or about the firm, as it deems necessary;
- this firm acknowledges that ICAEW may publish, in such manner as it may determine, any information about the firm's status under the regulations;
- this firm acknowledges that ICAEW may disclose information about it to other firms as set out in Probate Regulation 2.26;
- this firm will establish and maintain internal processes for handling complaints about probate work, and will deal cooperatively with the Legal Ombudsman and comply with his office's decisions as necessary;
- none of ICAEW, its officers, staff, members of its council or committees, their servants or agents can be held liable to the firm, a person, or an individual, in damages for any act or omission arising out of the performance of any of their functions under the Legal Services Act 2007, or connected with the granting of authorisation or a licence, the enforcement of the Probate Regulations or the monitoring of compliance with the Probate Regulations in any respect, unless the act or omission is shown to have been in bad faith; and
- this firm will not accept probate work or hold itself out to be an accredited probate firm unless I have received confirmation in writing that this application has been successful.

Signature of sole practitioner or probate contact partner with overall responsibility for making sure the firm complies with the Probate Regulations and who has provided the above confirmations. In the case of a licensed firm, the probate contact partner will be the Head of Legal Practice.

Name

Signature

Date

I have attached a total of additional sheets

REGISTRATION FEE, PROBATE COMPENSATION SCHEME LEVY AND FEE FOR EACH DISCLOSURE AND BARRING SERVICE CHECK MADE BY ICAEW (FOR HOLP, HOFA, ALL NON-AUTHORISED OWNERS WITH A MATERIAL INTEREST) (IF APPLICABLE)

If this application is being made as a result of a merger of existing accredited probate firms, or an incorporation of an existing accredited probate firm, and all fees have already been paid, the balance will be transferred to the new firm's account once accreditation has been approved.

Firms that are not the result of a merger or incorporation of existing accredited firms need to email regulatorysupport@icaew.com and we will contact you by phone to take any payments that are due.

The fees are calculated by reference to the number of principals, authorised individuals and offices as described in the fee scale. You must also include the total fee for all Disclosure and Barring Services checks that ICAEW will need to carry out.

Your firm will receive a receipted invoice for these fees if the firm is accepted as eligible to be an accredited probate firm. If the application is not successful, we will refund the registration fees. If you withdraw your application before the Disclosure and Barring Service checks have been made by ICAEW, we will refund the fees for those checks.

31 COMPLETION CHECKLIST

Before you return the completed application form, please:

- | | | |
|--|---|--|
| make sure you have completed all questions; | include any additional sheets with the form; | keep a copy of this form for your records; and |
| arrange any payments that are due; | enclose a copy of the firm's proposed letterhead; | send it to the address below. |
| enclose a copy of the firm's PII policy schedule and your insurer's details; | sign and date the form; | |

Now return your signed and completed form, with any additional sheets, to:

Regulatory Support
ICAEW, Metropolitan House
321 Avebury Boulevard
Milton Keynes
MK9 2FZ UK

T +44 (0)1908 546 302
E regulatorysupport@icaew.com

We will send you an acknowledgement when we receive your application.

USING YOUR PERSONAL INFORMATION

We will treat your personal information in accordance with data protection legislation. We will use your information to carry out our responsibilities as a regulator and as a professional body. We may, either as required by law or to carry out those responsibilities, share your personal information to comply with the requirements of government departments, agencies and regulators. Where necessary, we may transfer your information outside the UK or European Economic Area (EEA) eg, to one of our offices. These countries may not have similar data protection laws to the UK so, if we do transfer your information, we will take the necessary steps to ensure that your privacy rights are still protected. For more information about our data protection policy, please go to [icaew.com/dataprotection](https://www.icaew.com/dataprotection)

The Institute of Chartered Accountants in England and Wales (ICAEW), incorporated by Royal Charter RC000246 with registered office at Chartered Accountants' Hall, Moorgate Place, London EC2R 6EA