

Application to become an authorised body



INTRODUCTION

This form is for a body wishing to apply for authorisation as a principal of and/or as an interest holder in the firm applying for probate accreditation.

In order to become authorised, all principals and owners of the body applying for authorisation must be authorised unless they collectively exercise or control the exercise of less than 10% of the voting rights in the body in which case they may remain non-authorised persons.

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.

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

If your body 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)**

To be eligible for authorisation, a body 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 body's PII policy schedule and your insurer's details with this application.

To complete section 19 on diversity, you will need to conduct an initial diversity monitoring exercise and/or consider what steps your body will take periodically to monitor the diversity of individuals in your body before submitting your application.

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

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.

1 BODY DETAILS

Name of body applying to become an authorised probate body

Body number
(if known) **C00**

Is the body a member of a group?

☐ YES ☐ NO

If 'Yes', please provide details of the group.

2 TYPE OF SERVICE

Is it a sole practice? ☐ YES ☐ NO

Is it a limited liability partnership? ☐ YES ☐ NO

Is it a partnership? ☐ YES ☐ NO

Is it a corporate practice? ☐ YES ☐ NO

3 PRINCIPAL OFFICE

Principal office: the office to which ICAEW will send all communications regarding a body's probate accreditation. Trading name: an alternative name used by the body to practise under.

Address

Postcode/
zipcode

ICAEW use. L00

Phone

Company/LLP number (if applicable)

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

Body's website address

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

Trading name (if applicable)

Do you intend to use the trading name when conducting probate work? ☐ YES ☐ NO

Name and position in the body of the probate contact partner

Name

Position in body

ICAEW use. L00

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

Address

Postcode/
zipcode

Phone

Email address

4 OTHER OFFICES AND TRADING NAMES

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

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

Trading name (if applicable)

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

☐ YES
 ☐ NO

Address 1

Postcode/
zipcode**ICAEW use. L00**

Phone

Email address

Do you intend to conduct probate work from this office?

☐ YES
 ☐ NO

Trading name (if applicable)

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

☐ YES ☐ NO

Address 2

Postcode/
zipcode

ICAEW use. L00

Phone

Email address

Do you intend to conduct probate work from this office?

☐ YES ☐ NO

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

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

All principals must be authorised unless they, collectively with other principals and/or owners, exercise or control the exercise of less than 10% of voting rights, in which case they may remain nonauthorised persons.

Authorised individuals: the individuals who can undertake, or control the undertaking of, probate work on the body'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](https://www.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.

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

If any principal is not a member of ICAEW, ICAS, CAI, another approved regulator, or an affiliate under ICAEW's Audit Regulations, Insolvency Regulations or Use of the Description 'Chartered Accountant' Regulations or DPB 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
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		

Membership number	Surname	First names	Date of birth	Office location	Professional body	PC held?	Authorised individual?	Authorised regulator	% of total voting rights
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		
						<input type="radio"/> YES	<input type="radio"/> YES		
						<input type="radio"/> NO	<input type="radio"/> NO		

Please continue on a separate sheet if necessary.

6 EMPLOYEE AUTHORISED INDIVIDUALS

Please list all the employees that the body 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 body's behalf. Only employees who hold a probate qualification are eligible to apply to become authorised individuals, not consultants or sub-contractors. 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.

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

Membership number	Surname	First names	Date of birth	Office location	Professional body	PC held?	Authorised regulator
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	

Membership number	Surname	First names	Date of birth	Office location	Professional body	PC held?	Authorised regulator
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
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						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	
						<input type="radio"/> YES	
						<input type="radio"/> NO	

Please continue on a separate sheet if necessary.

7 AUTHORISED INDIVIDUALS

All individuals who are to be designated as authorised individuals 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 with this application application forms for individuals.

8 MANAGEMENT BOARD

If the body has a management board (this is the board of directors in the case of a company), 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	Principal?	% of total voting rights	Authorised individual?	Approved regulator/ Professional body
				<input type="radio"/> YES		<input type="radio"/> YES	
				<input type="radio"/> NO		<input type="radio"/> NO	
				<input type="radio"/> YES		<input type="radio"/> YES	
				<input type="radio"/> NO		<input type="radio"/> NO	
				<input type="radio"/> YES		<input type="radio"/> YES	
				<input type="radio"/> NO		<input type="radio"/> NO	
				<input type="radio"/> YES		<input type="radio"/> YES	
				<input type="radio"/> NO		<input type="radio"/> NO	
				<input type="radio"/> YES		<input type="radio"/> YES	
				<input type="radio"/> NO		<input type="radio"/> NO	

9 COMPLIANCE ARRANGEMENTS

Do you have compliance arrangements in place for the body?

☐ YES ☐ NO

If you answered 'No', please explain why you do not have compliance arrangements for the body.

If you answered 'Yes', please outline these arrangements on a separate sheet.

10 SHAREHOLDERS OF A CORPORATE PRACTICE

This section is for listing all the shareholders of the corporate practice. If your body is not a corporate practice, go to the next section.

Membership number	Full name and address of shareholder	% of total voting rights	Director, employee or other	Authorised individual?	Approved regulator/ Professional body
				<input type="radio"/> YES	
				<input type="radio"/> NO	
				<input type="radio"/> YES	
				<input type="radio"/> NO	
				<input type="radio"/> YES	
				<input type="radio"/> NO	
				<input type="radio"/> YES	
				<input type="radio"/> NO	
				<input type="radio"/> YES	
				<input type="radio"/> NO	

Membership number	Full name and address of shareholder	% of total voting rights	Director, employee or other	Authorised individual?	Approved regulator/ Professional body
				<input type="radio"/> YES	
				<input type="radio"/> NO	
				<input type="radio"/> YES	
				<input type="radio"/> NO	

11 NON-AUTHORISED OWNERS AND THEIR INTERESTS (IE, PARTNERS, MEMBERS OF AN LLP, DIRECTORS OR SHAREHOLDERS)

Under the Act, all principals and owners of an authorised body must be authorised, unless they collectively exercise or control the exercise of less than 10% of voting rights, in which case they may remain non-authorised persons.

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

12 PROBATE CONNECTED ENTITIES

Connections – Please list any connected firm(s) accredited for probate with ICAEW or another approved regulator.

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

Firm name

Relationship with applicant firm

Address

Postcode/
zipcode

Registered with

Firm number (if known)

13 REGULATION AND SUPERVISION

Is the body 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

14 STAFF IN EACH OFFICE

The total number of principals and the total number of authorised individuals should agree with the totals in sections 5 and 6.

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					
Total					

15 PRACTICE INCOME

For this purpose, fee income excludes the re-charge of out-of-pocket expenses and VAT. If the body 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 16) £

16 NATURE OF PROBATE-RELATED WORK

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

Will-writing services

☐ YES ☐ NO

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

Is the body likely to hold clients' and/or estate monies in connection with the above activities?

☐ YES ☐ NO

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

17 STATEMENT ON ACCESS TO JUSTICE

It is a requirement of the Act that you explain how your body's application to become an authorised probate body 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 body.

18 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](https://www.legislation.gov.uk/ukpga/2007/29/contents)

Are you aware of any issues affecting your body that might compromise the regulatory objectives if this application is successful and you begin to undertake probate work?

☐ YES ☐ NO

Is anyone in your body (including any owner or shareholder) subject to duties that might conflict with the body's ability to carry out probate work in accordance with the probate regulations and the professional principles contained in the Act?

☐ YES ☐ NO

If 'Yes', please outline the steps your body will take to mitigate the risk of conflict and/or to address this issue.

19 STATEMENT ON IMPROPER INFLUENCE

It is a requirement of the Act that you explain how your body's application to become an authorised probate body 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 body.

19 STATEMENT ON IMPROPER INFLUENCE

Authorised bodies are under an obligation to ensure that non-authorised persons (whether principals, employees or shareholders) do not influence improperly the conduct of probate work.

Please outline the steps your body 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 body 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.

20 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 bodies should have arrangements in place for monitoring periodically the diversity of individuals in their body.

To satisfy the LSB's requirement, bodies 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 in order that ICAEW can publish data showing the diversity of the entire workforce of bodies offering probate services. Only summary information will be reported and your body will not be identified.

ICAEW has created a model questionnaire that bodies can download and distribute to their staff. If bodies 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](https://www.icaew.com/probate) for more information.

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

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 time of application, a follow-up request will be made within six months of application.

Diversity monitoring results

21 PROFESSIONAL INDEMNITY INSURANCE

An authorised probate body 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 a copy of your body's PII policy schedule with this application which shows the entities and sums insured.

Cover arranged with (name of participating insurer)

Period of cover from to

22 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.

23 FIT AND PROPER

The Act requires authorised persons to be fit and proper to carry out probate work. Under the Probate Regulations, any body seeking authorisation must satisfy ICAEW that it is fit and proper. It is for each body 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 body has any doubts about the fit and proper status of any of its principals or employees, it should contact Regulatory Support on +44 (0)1908 546 302.

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

A 'Yes' answer to any of the questions in this section will not automatically result in a body being refused authorisation. 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 body does not disclose, this will be viewed very seriously. It could jeopardise the body's application or continuing authorisation.

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

FINANCIAL INTEGRITY AND RELIABILITY

In the last 10 years, has the body made any compromise or arrangement with its creditors, or otherwise failed to satisfy creditors in full? ☐ YES ☐ NO

In the last 10 years, has the body been the subject of any insolvency proceedings? ☐ YES ☐ NO

CIVIL LIABILITIES

In the last five years, has the body (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

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 body which is a sole practice, offences committed by any individual before the age of 17 (unless committed within the last 10 years) or road traffic offences that did not lead to a prison sentence.

In the last 10 years, has the body 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 body currently undergoing any investigation or disciplinary procedures as described above? ☐ YES ☐ NO

If there has been any disciplinary issue(s), please state in the box what action your body 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 body should disclose to ICAEW? If 'Yes', please specify details on a separate sheet? ☐ YES ☐ NO

24 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 | <input type="radio"/> Authorised individuals | <input type="radio"/> Employees engaged in probate work under supervision | <input type="radio"/> Other |
| DVD subscription | <input type="radio"/> Authorised individuals | <input type="radio"/> Employees engaged in probate work under supervision | <input type="radio"/> Other |
| Update service | <input type="radio"/> Authorised individuals | <input type="radio"/> Employees engaged in probate work under supervision | <input type="radio"/> Other |
| In-house courses | <input type="radio"/> Authorised individuals | <input type="radio"/> Employees engaged in probate work under supervision | <input type="radio"/> Other |
| In-house technical discussion group | <input type="radio"/> Authorised individuals | <input type="radio"/> Employees engaged in probate work under supervision | <input type="radio"/> Other |

Training consortium or another firm's in-house courses	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
ICAEW/District Society course	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Other commercial courses	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Local discussion groups	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Private reading: technical papers, accountancy, journals, articles, newsletters	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Access to technical library	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Focused discussion with more experienced colleagues	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Other (please give further details)	<input type="radio"/> Authorised individuals	<input type="radio"/> Employees engaged in probate work under supervision	<input type="radio"/> Other
Will individual training records be maintained for all authorised individuals and employees involved in probate work?			<input type="radio"/> YES <input type="radio"/> 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 body intend to use a probate manual and/or probate documentation?			<input type="radio"/> YES <input type="radio"/> NO
If 'Yes', please name the manual.			
Does the body intend to subscribe to an updating service for the probate manual?			<input type="radio"/> YES <input type="radio"/> NO
If 'Yes', is this commercially available?			<input type="radio"/> YES <input type="radio"/> NO
If 'No', how do you propose keeping authorised individuals and employees in your body up to date in probate law and practice?			

25 CONTROL OF PROBATE WORK

Does the body have appropriate arrangements to deal with:

fit and proper considerations ☐ YES ☐ NO

independence and integrity ☐ YES ☐ NO

confidentiality ☐ YES ☐ NO

conduct of probate work (including acting in the best interests of client) ☐ YES ☐ NO

clients' money (if held) ☐ YES ☐ NO

recording of work done ☐ YES ☐ NO

review procedures ☐ YES ☐ NO

recruitment ☐ YES ☐ NO

staff appraisal ☐ YES ☐ NO

training standards ☐ YES ☐ NO

discipline ☐ YES ☐ NO

reporting and supervisory responsibilities in the body ☐ YES ☐ NO

complaints-handling ☐ YES ☐ NO

26 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 our helpsheet, Arrangements of alternates for sole principals in the UK, at [icaew.com/practicehelpsheets](https://www.icaew.com/practicehelpsheets)

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

27 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 body's circumstances.

I confirm that:

- all relevant information has been disclosed;
- the control of this body 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 body has professional indemnity insurance in place that covers authorised work as required by the PII and Probate Regulations; and
- this body will comply with the Practice Assurance Regulations as if it were a member firm.

If this application is approved, I confirm that.

- this body will comply with the Practice Assurance Regulations;
(If your body is not a member firm, as defined in the Principal Bye-Laws which can be found at [icaew.com/regulations](https://www.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 body will comply with the Probate Regulations at all times;
- this body 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 body will deal with ICAEW in an open and cooperative manner and will inform ICAEW promptly of anything concerning the body as required by the Probate Regulations;
- this body will inform all principals, employees and shareholders of the duties contained in sections 90 and 176 of the Act;
- this body acknowledges that ICAEW may make enquiries of or about the body, as it deems necessary;
- the body acknowledges that ICAEW may publish, in such manner as it may determine, any information about the body's status under the regulations;
- the body acknowledges that ICAEW may disclose information about it to other bodies as set out in Probate Regulation 2.26;
- the body 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 body, 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 body will not accept probate work or hold itself out to be an accredited probate body 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 body complies with the Probate Regulations and who has provided the above confirmations.

Name

Signature

Date

I have attached a total of additional sheets

REGISTRATION FEE, 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/bodies, or an incorporation of an existing accredited probate firm/body, and all fees have already been paid, the balance will be transferred to the new body's account once authorisation has been approved.

Bodies that are not the result of a merger or incorporation of existing accredited firms/bodies need to enclose a cheque for the relevant fee.

I enclose a cheque for £ (payable to Chartac) as payment for this year's registration fee. Please see fee scale at [icaew.com/probate](https://www.icaew.com/probate)

I enclose a cheque for £ (payable to Chartac) as payment for each Disclosure and Barring Service check made by ICAEW. Please see details of fees at [icaew.com/probate](https://www.icaew.com/probate)

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

Your body will receive a receipted invoice for these fees if the body is accepted as eligible to be an authorised probate body. 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.

28 COMPLETION CHECKLIST

Do you have compliance arrangements in place for the body?

- ☐ make sure you have completed all questions;
- ☐ include any additional sheets with the form;
- ☐ keep a copy of this form for your records; and
- ☐ enclose a cheque for the registration fee and any applicable Disclosure and Barring Service check fees;
- ☐ sign and date the form;
- ☐ send it to the address below.
- ☐ enclose a copy of the body's PII policy schedule and your insurer's details;

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. We may transfer your information outside the European Economic Area (EEA) eg, to one of our offices. These countries may not have similar data protection laws to the EEA 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)