

Rule 12 of the Solicitors (Disciplinary Proceedings) Rules 2019 (SDPR 2019).

For office use only

Date received	Case number	Previous application check completed	Referred to Solicitor Member on

Before you complete this form – please read

This form should be read together with the **Information Guide for Lay Applicants**, available at www.solicitortribunal.org.uk. Independent legal advice is strongly recommended before you apply.

The Tribunal deals only with allegations of professional misconduct. It does not deal with poor service, negligence, civil disputes, or dissatisfaction with the outcome of your case, and it cannot award compensation. Complaints about service should go to the Legal Ombudsman (www.legalombudsman.org.uk); concerns about conduct will normally be expected to have been raised with the Solicitors Regulation Authority (www.sra.org.uk) first.

Costs warning: the Tribunal has the power to make an order for the costs of the proceedings against you, which may be considerable. The Tribunal cannot investigate or gather evidence on your behalf: you are responsible for preparing and presenting your own case.

1 – Your Details (the Applicant)

Full name (including title)

Email

Address

Telephone number(s)

Preferred method of contact

☐

Email

☐

Post

☐

Telephone

Do you require any reasonable adjustments or assistance (for example an interpreter)?

2 – The Solicitor or Firm complained of (the Respondent)

If your application concerns more than one solicitor or firm, complete this section for each Respondent on a separate sheet.

Full name of the solicitor

SRA number (if known)

You can check this on the Solicitors Regulation Authority (SRA) website: www.sra.org.uk

Name of the firm

Address

The solicitor's role and involvement in the events complained of

Explain what the solicitor was instructed to do, and how they were personally involved in the conduct you complain about.

3 – Other Routes – have you raised this matter elsewhere?

Have you complained to the firm itself?

☐

Yes

☐

No

Have you complained to the Legal Ombudsman?

☐

Yes

☐

No

Have you reported this matter to the Solicitors Regulation Authority (SRA)?

☐

Yes

☐

No

Are there, or have there been, any court proceedings about the same matter?

☐

Yes

☐

No

If yes to any of the above, please give details

Include reference numbers, dates, and the outcome (or current position) of each. If you have not raised the matter with the SRA, explain why.

4 – Previous Applications to the Tribunal

Have you applied to the Tribunal before about the same matter, or substantially the same matter?

☐

Yes

☐

No

If yes: date and reference of the previous application

Date

Reference

How does this application differ from your previous application?

What new evidence are you providing?

What new grounds or arguments are you raising?

Please note: if your application is the same as, or substantially the same as, a previous application and raises nothing new, it is likely to be refused.

5 – The Allegations

Set out each allegation clearly and separately, using one block per allegation. Space is provided on the following pages for three allegations. If you have more, use the Continuation Sheet at the end of this form: print or copy one Continuation Sheet for each additional allegation, number it consecutively (Allegation 4, 5, and so on), and attach it to this form. You do not need to identify the specific SRA Principles or Code of Conduct provisions involved, although you may refer to them in your Rule 12 Statement if you know them; what matters is that you describe the conduct clearly and explain why it amounts to professional misconduct.

Total number of allegations made in this application (including any on Continuation Sheets)

5 – The Allegations continued

Allegation 1

The conduct complained of (what the solicitor did or failed to do)

Describe the specific conduct, not the outcome of your case.

Date(s) of the conduct

Why this amounts to professional misconduct (rather than poor service or negligence alone)

Evidence relied on for this allegation (refer to document numbers in section 7)

5 – The Allegations continued

Allegation 2

The conduct complained of (what the solicitor did or failed to do)

Describe the specific conduct, not the outcome of your case.

Date(s) of the conduct

Why this amounts to professional misconduct (rather than poor service or negligence alone)

Evidence relied on for this allegation (refer to document numbers in section 7)

5 – The Allegations continued

Allegation 3

The conduct complained of (what the solicitor did or failed to do)

Describe the specific conduct, not the outcome of your case.

Date(s) of the conduct

Why this amounts to professional misconduct (rather than poor service or negligence alone)

Evidence relied on for this allegation (refer to document numbers in section 7)

6 – Your Written Statement (Rule 12 Statement)

Your application must be accompanied by a written statement setting out the allegations and the facts and matters supporting them (your “Rule 12 Statement”). The facts should be presented in a logical and chronological way, and the statement must be signed and dated and end with a Statement of Truth in the form set out in section 9.

Is your Rule 12 Statement attached to this form? ☐ Yes ☐ No

Does it end with a signed and dated Statement of Truth? ☐ Yes ☐ No

Number of pages in your Rule 12 Statement

7 – Supporting Documents

List every document you rely on. Number each document and refer to those numbers in section 5 and in your Rule 12 Statement. Attach copies (not originals) of all documents listed. Continue on a separate sheet if necessary.

No.	Date of document	Description of document	Allegation(s) it supports

7 – Supporting Documents continued

No.	Date of document	Description of document	Allegation(s) it supports

8 – Witnesses

If anyone other than you can give evidence in support of your application, give their details below. Any witness statement must end with a signed and dated Statement of Truth in the form set out in section 9.

Name of witness	What their evidence covers	Statement attached?	
		Yes	No
		☐	☐
		☐	☐
		☐	☐
		☐	☐

9 – Acknowledgements and Statement of Truth

Please confirm each of the following by ticking the box:

- ☐ I understand that the Tribunal deals only with professional misconduct and cannot award compensation.
 - ☐ I understand that the Tribunal cannot investigate or gather evidence on my behalf, and that I am responsible for preparing and presenting my own case.
 - ☐ I understand that the Tribunal may make an order for the costs of the proceedings against me.
-

Statement of Truth

I believe that the facts stated in this application form, and in the Rule 12 Statement accompanying it, are true.

Signed*

Date

* By typing your name you are signing this form electronically. You agree that your electronic signature is the legal equivalent of your manual signature.

Where to send your completed form

By email (preferred)

enquiries@solicitorsdt.com

By post

The Clerk to the SDT, 2nd Floor, 45 Ludgate Hill, London EC4M 7JU

Please send: (1) this completed form; (2) your Rule 12 Statement; (3) all supporting documents; and (4) any witness statements. What happens next is explained at Step 3 of the **Information Guide for Lay Applicants (certification)**.

Continuation Sheet – Additional Allegation

Print or copy this page once for each additional allegation and attach it to your application.

Applicant's full name (as in section 1)

Respondent's full name (as in section 2)

Allegation number

The conduct complained of (what the solicitor did or failed to do)

Describe the specific conduct, not the outcome of your case.

Date(s) of the conduct

Why this amounts to professional misconduct (rather than poor service or negligence alone)

Evidence relied on for this allegation (refer to document numbers in section 7)

Remember: number this allegation consecutively, include it in the total given in section 5, list the evidence it relies on in the schedule of documents in section 7, and address the supporting facts in your Rule 12 Statement. The Statement of Truth in section 9 covers all allegations, including those made on Continuation Sheets.