

Solicitors Regulation Authority – Reporting a solicitor or firm to us

We investigate serious or repeated cases of poor behaviour or conduct. Types of things we usually investigate are set out below. It's a list of examples. It's not a list of everything we investigate.

- **Dishonesty or fraud**
- Misuse of client money
- Sexual or violent misconduct
- **Conduct relating to serious criminal offences**
- **Misleading the court or others (for example, about what has been done on a case or about the evidence)**
- Taking unfair advantage of you or others (For example, a solicitor persuades someone who doesn't have a legal adviser to sign an unfair settlement agreement, letting them think that it is in their interests and that they don't need independent legal advice.)
- Discriminating against you or others
- Serious concerns about the solvency of a firm (ie, employees have not been paid)
- Failing to act in the best interests of a client, including the firm/solicitor acting for another client whose interests conflict or putting their own interests first
- Failing to take steps needed to safeguard against money laundering
- Seriously reckless or incompetent behaviour or a pattern of behaviour that puts you (as a client), your money or your case at risk

Each case is different and depends on its own facts and circumstances.

How we decide if a breach of our rules is serious

To decide if we need to investigate the reports we receive, we apply an [assessment threshold test](#).

As well as looking at the type of issue reported, we may look at:

- the motivation behind the solicitor's or firm's actions
- whether the solicitor's or firm's actions went on for some time or were repeated
- whether the firm or solicitor gained any benefit or advantage
- **whether the solicitor or firm was dealing with a vulnerable person.**

The Defendant's concerns are highlighted above.