

Application under rule 2.6(f) of the SRA Claims Management Fees Rules to exceed the financial products and services fee restriction



Use this form apply for permission to exceed the financial products and services fee restriction and instead make reasonable charges under rule 2.6(f) of the SRA Claims Management Fees Rules ('the Rules')

We may grant permission when we are satisfied that the circumstances of the application are sufficiently exceptional to justify a departure from the fee restriction set out at rule 2.3 of the Rules. It is for the applicant to demonstrate that exceptional circumstances exist, such that it is in the best interests of the client to receive specialist legal advice with the result that the reasonable costs of bringing the claim are likely to exceed the maximum permitted total charge provided in rule 2.3.

We will consider applications on a case-by-case basis. Factors that we may consider include (but are not limited to):

- claims that move across more than one statutory redress scheme, or that are reasonably expected to;
- claims expected to be, or that are actually, prolonged significantly beyond average case-determination timeframes for the Financial Ombudsman Service / The Pensions Ombudsman / the Financial Services Compensation Scheme;
- claims involving multiple parties;
- claims with international elements; and
- certain pension cases involving authorised representatives.

You should save a copy of the form to your device before you start to fill it in

This form is an editable PDF and must be completed on screen. If you need the form in another format, email professional.ethics@sra.org.uk

Section 1 - Your details

1.1 Applicant name

SRA number

1.2 Applicant status

Authorised body

Solicitor, REL or RFL practising under regulation 9.8(b)(ii) of the SRA Authorisation of Individuals Regulations

If you are an individual practising as permitted under regulation 9.8(b)(ii) of the SRA Authorisation of Individuals Regulations, please provide details of the exemption made in or under FSMA to the general prohibition set out in section 19 of FSMA on which you rely in order to carry on regulated claims management activity.

Section 2 - Exemption details

- 2.1 Please confirm the statutory ombudsman scheme or statutory compensation scheme(s) to which the claim is being made (Pensions Ombudsman, Financial Ombudsman Service and/or the Financial Services Compensation Scheme).
- 2.2 Please give the expected value of the redress to be awarded for the claim, together with costs and disbursements incurred to date.
- 2.3 Explain the exceptional circumstances that make this claim particularly novel and/or complex and which render ongoing representation unviable within the maximum charges.
- 2.4 List any documents you are providing in support of this application.

Section 3 - Declaration

If you knowingly or recklessly give false or misleading information, or fail to inform us of significant information we may reject the notification and/or take disciplinary action.

You should not assume that information is known to us because it is in the public domain, or has previously been disclosed to us or another regulatory body.

In making this declaration on behalf of the firm, you confirm that:

- 3.1 I confirm that I have read the SRA's guidance on 'Representing clients during claims for financial services or products'.
- 3.2 I confirm I have the authority to make this application and declarations on behalf of the Applicant.
- 3.3 I confirm that the information in the application is correct and complete.
- 3.4 I confirm I will notify you as soon as any information provided in this application changes.
- 3.5 I authorise the SRA to make such enquiries and seek such further information as it considers appropriate as part of considering and/or verifying information about this application.

3.6 Forename(s)	Surname
Date of birth	SRA no
Role	Email
Signed	Date

If completed electronically, tick to say that you confirm the declaration

Section 4 - Returning the form

To help us process your application, check that you have provided all of the information needed. We cannot accept incomplete applications.

Once complete, send your form by email to professional.ethics@sra.org.uk

Section 5 - What we will do with your data

Privacy notice

The Solicitors Regulation Authority Limited (SRA) is the 'data controller' of the personal information we hold for the purposes of the UK General Data Protection Regulation (the UK GDPR) and the Data Protection Act 2018 (the Data Protection Act).

We collect, use and share data primarily in the exercise of our regulatory functions. More information about how we handle your data is available in our [Privacy Notice](#).