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Disciplinary procedures

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Publishing regulatory and disciplinary decisions - Guidance [https://higher-

<u>rights.sra.org.uk/solicitors/guidance/disciplinary-publishing-</u>regulatory-disciplinary-decisions/]

24 June 2025

Understand the approach we take when deciding whether to publish regulatory and disciplinary decisions on our website.

The SRA's approach to financial penalties - Guidance [https://higher-

rights.sra.org.uk/solicitors/guidance/financial-penalties/]

30 May 2023

A guide for our decision makers to assist them in arriving at an appropriate financial penalty for the individuals and firms we regulate.

<u>Decision-making in disciplinary cases -</u> <u>Guidance [https://higher-</u>

<u>rights.sra.org.uk/solicitors/guidance/decision-making-disciplinary-cases/</u>]

30 May 2023

This guidance is to help you understand how we make a first-instance decision in a disciplinary case and how we deal with an application for an internal review of that decision.

SRA investigations: health issues and medical evidence - Guidance [https://higher-



<u>rights.sra.org.uk/solicitors/guidance/sra-investigations-health-issues-and-medical-evidence/</u>]

16 May 2023

Guidance: to help you understand the approach we take to health issues which are raised by those we are investigating and the medical evidence we might ask for.

<u>Issuing Solicitors Disciplinary Tribunal</u> <u>proceedings - Guidance [https://higher-rights.sra.org.uk/solicitors/guidance/disciplinary-issuing-solicitors-disciplinary-tribunal-proceedings/]</u>

20 July 2022

To help you understand the approach we take when deciding whether to issue proceedings in the Solicitors Disciplinary Tribunal.

<u>Making decisions to investigate concerns -</u> <u>Guidance [https://higher-</u>

<u>rights.sra.org.uk/solicitors/guidance/investigations-decisions-investigate-concerns/</u>]

30 December 2021

To help those we regulate understand how we assess reports and complaints made about them.

How we regulate non-authorised persons - Guidance [https://higher-

<u>rights.sra.org.uk/solicitors/guidance/general-regulation-non-authorised-persons/]</u>

17 November 2021

How we will regulate you if you are not authorised by us directly but where you are involved in a firm we regulate or work for, or are supervised, by a solicitor.

How we deal with money when we intervene (Statutory Trusts) - Guidance [https://higher-

<u>rights.sra.org.uk/solicitors/guidance/consumer-money-intervene/l</u>

5 July 2021

To help you understand how we deal with money when we intervene into a firm.

On-site investigations (inspections) - Guidance [https://higher-

rights.sra.org.uk/solicitors/guidance/investigations-on-site/]

25 November 2019

To help you understand how we make the decision to conduct an on-site inspection and what is expected from you.

Bringing criminal proceedings - Guidance

[https://higher-

<u>rights.sra.org.uk/solicitors/guidance/disciplinary-bringing-criminal-proceedings/</u>]

25 November 2019

Understand how and when we may bring criminal proceedings against those we regulate.

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