



### Summary of decision

The purpose of this summary sheet is to provide a high level and accessible summary of the LSB's decision. Readers are recommended to read the formal decision notice below for further detail. **This summary is not and should not be taken as a formal part of the LSB's decision notice under the Legal Services Act 2007 ("the Act").**

The LSB's decision is to grant in full the application from the Faculty Office to make changes to its regulatory arrangements by revoking and replacing its Notaries (Post-Admission) Rules 2009 with the new Notaries (Post-Admission Supervision and Training) Rules 2019. Broadly the new rules:

- standardise reporting required by the Faculty Office upon completion by a notary of practice under supervision
- create a register of notaries willing to act as supervisors
- allow for a period of supervision to be extended in certain circumstances
- provide for a period of supervision after an extended career break.

The LSB has concluded that the changes do not meet the refusal criteria in the Act. Consequently, the LSB considers that there is no reason to refuse this application.

## Decision notice

### **The Faculty Office's application to make changes to its regulatory arrangements in order to replace its Notaries (Post-Admission) Rules 2009 with new Notaries (Post-Admission Supervision and Training) Rules 2019**

1. The Legal Services Board (“**LSB**”) has granted an application from the Faculty Office on behalf of the Master of the Faculties (“**the Master**”) for approval of changes to its regulatory arrangements in order to revoke and replace its Notaries (Post-Admission) Rules 2009 with the new Notaries (Post-Admission Supervision and Training) Rules 2019.
2. This decision notice sets out the decision taken, including a brief description of the changes.
3. The LSB is required by Part 3 of Schedule 4 to the Legal Services Act 2007 (“**the Act**”) to review and grant or refuse applications by approved regulators to make alterations to their regulatory arrangements. The Master is an approved regulator and the Faculty Office is the regulatory arm to which the Master has delegated his regulatory functions. The notes at page 6 of this notice explain the statutory basis for the decision.
4. The chronology for the LSB's handling of this application is also set out at the end of this decision notice.

## Background

5. Current Faculty Office rules require supervisors of newly admitted notaries to report to the Master at the end of the supervision period and to confirm whether in their opinion the notary should be permitted to practise without supervision.
6. The Faculty Office explained during the course of its application that the reports the Master receives from supervisors vary in length and content such that it can sometimes be unclear that there has been a consistent level of supervision. The proposed rules will introduce a standard form reporting regime intended to provide a greater degree of consistency in the information which is reported to the Master and how it is provided.
7. The proposed creation of a register of supervisors is intended to make it easier for newly admitted notaries to find supervisors and to allow the Faculty Office to better monitor those providing supervision.
8. Proposed changes to supervision periods are designed to ensure that all newly admitted and returning notaries receive adequate supervision in all circumstances. These changes are intended to safeguard consumers by making certain all notaries are competent to practise unsupervised before being allowed to do so.

## **Proposed Changes**

9. The relevant existing regulatory arrangements to be replaced are the Notaries (Post-Admission) Rules 2009 (“**the existing rules**”). It is proposed that they are replaced with the new Notaries (Post-Admission Supervision and Training) Rules 2019 (“**the new rules**”).
10. The existing rules are largely retained within the new rules. However there are key changes to four areas within the new rules.

### *Register of Supervisors*

11. New Rule 3 sets out that there will be a register of supervisors that will include all those notaries (or authorised persons) who are willing to act as supervisors as long as they meet the criteria for being supervisors.
12. The criteria for acting as a supervisor is not being amended by the proposed rule change save for the fact that new Rule 5 provides that supervisors of notaries undertaking conveyancing or probate work can now be any authorised persons with the requisite experience. The current rule limits such supervision to notaries, solicitors and licensed conveyancers.

### *Period of Supervision*

13. New Rule 4 includes the option for the standard two year (three years for conveyancing or probate) period of supervision to be extended by the registrar on behalf of the Master where there is a:
  - a) change of supervisor
  - b) report submitted that suggests such extension is warranted
  - c) disciplinary finding
  - d) interruption in practise
  - e) recommendation by a supervisor.
14. New Rule 11 provides that in circumstances where a notary has ceased to practise for a period of five or more years they shall be required to complete a period of supervision specified by the Master.

### *Standard Form Reporting System*

15. New Rule 7 introduces a new standard form reporting system. The exact form of the reports required can be found at Schedules 1 and 2 to the new rules annexed to this decision.

### *Guidance to Supervisors*

16. New Rule 9 sets out that the Faculty Office will issue guidance relevant to the parts of a newly admitted notary’s practise that require supervision. The Faculty Office has provided assurance during the course of its application that such guidance will not amount to the imposition of new rules.

17. There are also further minor changes to the rules which do not amount to changes in regulatory approach.

### **Key issues considered in the assessment of the application**

18. The Faculty Office consulted on its proposals by providing a draft version of the proposed rules by email to all practising notaries for comment. It received broadly supportive responses from ten individual notaries and took those responses into account prior to submitting its application to the LSB.
19. The process followed by the Faculty Office was a limited consultative process. The Faculty Office did not highlight its proposed amendments to those it chose to consult. The consultation was not published and no opportunity was provided to anyone other than its regulated community to provide any comment.
20. During the course of its consideration of the application the LSB asked the Faculty Office about the impact of its new reporting requirements. The Faculty Office confirmed that it expected around 25-30 newly admitted notaries and supervisors to be affected each year.
21. The LSB has considered whether the limited consultation process undertaken, gives rise to refuse the application under the refusal criterion under paragraph 25(3)(f) of Schedule 4 to the Act. On balance, given that the changes proposed are not significant policy changes and build upon the existing set of rules, the LSB is satisfied that this refusal criterion is not met. In reaching this view the LSB has also had regard to the numbers of notaries and supervisors affected by the change. Nonetheless, in future the Faculty Office should ensure that all consultations are published on its website and that it appropriately highlights proposed changes within its consultations. Such publication will allow consultees (including those beyond its regulated community) to provide informed input to proposed alterations to the regulatory arrangements of the Faculty Office.
22. The LSB also asked the Faculty Office about the potential equality impact on notaries who have had a career break of five years or more, given the new requirement that they will be required to undertake a period of supervision to be determined by the Master. The Faculty Office confirmed that it does not consider the change will unduly impact upon equality or diversity. The Faculty Office expect that it will affect less than one notary each year. Further, the Master is able to set the level of supervision required which the Faculty Office consider will ensure the rule is proportionately applied to the circumstances of notaries returning to the profession. We expect the Faculty Office to monitor how this discretion is being applied and whether those being asked to undertake supervision following a career break are raising concerns about proportionality.
23. The initial application that the Faculty Office submitted was lacking significant information. When drafting future rule change applications the Faculty Office should refer to the LSB's Rules and Guidance for rule change applications<sup>1</sup>. Ensuring that the

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<sup>1</sup> [https://www.legalservicesboard.org.uk/Projects/statutory\\_decision\\_making/alterations\\_to\\_regulatory\\_arrangements.htm#lsbrules](https://www.legalservicesboard.org.uk/Projects/statutory_decision_making/alterations_to_regulatory_arrangements.htm#lsbrules)

application adheres to the Rules will reduce the need for enquiries to be made in the course of the LSB's consideration of the application. This will reduce the risk of the application being refused in circumstances where the proposed amendments do not otherwise meet the refusal criteria.

### **Decision**

24. The LSB has considered the Faculty Office's application against the refusal criteria in paragraph 25(3) of Schedule 4 to the Act. It considers that there is no reason to refuse this application and accordingly, the application is granted.

25. **Annex A** to this decision notice contains the regulatory arrangements approved by the LSB.

### **Chronology**

- The Faculty Office sent an application to the LSB on 18 March 2019
- The LSB confirmed receipt of an application from the Faculty Office on 18 March 2019
- The LSB sent some additional queries to the Faculty Office on 25 March 2019
- The Faculty Office provided a response on 29 March 2019
- This decision notice is effective from 11 April 2019.
- This decision notice will be published on our website by 15 April 2019.

**Neil Buckley, Chief Executive**

**Acting under delegated authority granted by the Board of the Legal Services Board**

**11 April 2019**

*Notes:*

1. The LSB is required by Part 3 of Schedule 4 to the Act to review and grant or refuse applications by approved regulators to make alterations to their regulatory arrangements.
2. Paragraph 25(3) of Schedule 4 to the Act explains that the LSB may refuse an application setting out a proposed change to the regulatory arrangements only if it is satisfied that
  - (a) granting the application would be prejudicial to the regulatory objectives
  - (b) granting the application would be contrary to any provision made by or by virtue of this Act or any other enactment or would result in any of the designation requirements ceasing to be satisfied in relation to the approved regulator
  - (c) granting the application would be contrary to the public interest
  - (d) the alteration would enable the approved regulator to authorise persons to carry on activities which are reserved legal activities in relation to which it is not a relevant approved regulator
  - (e) the alteration would enable the approved regulator to license persons under Part 5 [of the Act] to carry on activities which are reserved legal activities in relation to which it is not a licensing authority, or
  - (f) the alteration has been or is likely to be made otherwise than in accordance with the procedures (whether statutory or otherwise) which apply in relation to the making of the alteration.
3. The designation requirements referred to in paragraph 2(b) above are set out in paragraph 25(4) of Schedule 4 to the Act and are
  - (a) a requirement that the approved regulator has appropriate internal governance arrangements in place
  - (b) a requirement that the applicant is competent, and has sufficient resources to perform the role of approved regulator in relation to the reserved legal activities in respect of which it is designated, and
  - (c) the requirements set out in paragraphs 13(2)(c) to (e) of Schedule 4, namely that the regulatory arrangements are appropriate, comply with the requirements in respect of resolution of regulatory conflict (imposed by sections 52 and 54 of the Act) and comply with the requirements in relation to the handling of complaints (imposed by sections 112 and 145 of the Act).
4. In accordance with paragraphs 20(1) and 23(3) of Schedule 4 to the Act, the LSB has made rules<sup>2</sup> about the manner and form in which applications to alter regulatory arrangements must be made. Amongst other things, the rules highlight the applicant's obligations under section 28 of the Act to have regard to the Better Regulation Principles. They also require applicants to provide information about each proposed change and details of the consultation undertaken.
5. If the LSB is not satisfied that one or more of the criteria for refusal are met, then it must approve the application in whole, or the parts of it that can be approved.

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<sup>2</sup> Rules for Rule Change Applications – Version 2 (November 2010)

## **Annex A**

### **NOTARIES (POST-ADMISSION SUPERVISION AND TRAINING) RULES 2019**

We CHARLES RICHARD GEORGE One of Her Majesty's Counsel Commissary or Master of the Faculties of the Most Reverend Father in God Justin Portal by Divine Providence Lord Archbishop of Canterbury Primate of all England and Metropolitan in exercise of the powers conferred by section 57 of the Courts and Legal Services Act 1990 and of all other powers Us enabling hereby make the following rules:-

#### **Citation and Commencement**

1. These Rules may be cited as the Notaries (Post-Admission Training and Supervision) Rules 2019 and shall come into force on the 1<sup>st</sup> day of [ ] 2019.

#### **Interpretation**

2. In these Rules

"authorised person" means a person who is authorised to carry on the relevant activity by a relevant approved regulator in relation to the relevant activity (Legal Services Act 2007, s18(1)(a));

"The Faculty Office" means the Registry of the Court of Faculties;

"The Master" means the Master of the Faculties;

"The Registrar" means the Registrar of the Court of Faculties.

#### **Supervisors**

3. (1) There shall be a register of supervisors maintained by the Registrar and only those notaries entered in the register may undertake the functions set out in rules 4 to 7.
- (2) A supervisor shall be a notary who holds a current practising certificate issued out of the Faculty Office pursuant to rule 3 of the Notaries (Practising Certificates) Rules 2012 and who has been in continuous unsupervised practice as a notary for a period of 5 years immediately prior to commencement of a period of supervision as provided for under rule 4.
- (3) A supervisor shall undertake to comply with the reporting obligations under rule 7 and to follow such guidance as may be issued from time to time by the Master under rule 9.
- (4) A supervisor who undertakes the supervision of a notary carrying out conveyancing as part of his/her notarial practice shall have carried out conveyancing as a substantial part of his/her practice in the previous 5 years

whether as a notary or other authorised person. He/she shall also have regard to the requirements of other relevant approved regulators.

- (5) A supervisor who undertakes the supervision of a notary carrying out probate as part of his/her notarial practice shall have carried out probate as a substantial part of his/her practice in the previous 5 years whether as a notary or other authorised person. He/she shall also have regard to the requirements of other relevant approved regulators.
- (6) A supervisor supervising the practice of a notary pursuant to rule 4 shall make him/herself available to that notary for the purpose of giving advice and counsel on all matters covered by the supervision at reasonable times, subject to the professional obligations of the supervisor, and shall make enquiries of the supervised notary at least once in every three months as to the notary's progress and any matters of concern to the supervised notary and shall keep a record of such enquiries.

#### **Period of practice under supervision**

4. (1) This rule shall apply to all notaries admitted to practise in England and Wales (other than notaries admitted for ecclesiastical purposes only) from the date these rules come into force.
- (2) A notary to whom this rule applies shall be required to complete a period of practice under supervision in accordance with these rules which shall commence from the date of acceptance by the supervised notary of an instruction to carry out his/her first notarial act.
- (3) Subject to paragraph (4) of this rule, the duration of the period of practice under supervision shall be two years, save that:-
  - (a) A notary admitted to practise from the date these rules come into force who carries out conveyancing in his/her capacity as a notary shall be required to complete a period of practice under supervision of three years commencing no later than the first date that instructions for conveyancing are accepted by the notary in his/her capacity as a notary.
  - (b) A notary admitted to practise from the date these rules come into force who carries out probate in his/her capacity as a notary shall be required to complete a period of practice under supervision of three years commencing no later than the first date that instructions for probate are accepted by the notary in his/her capacity as a notary.
  - (c) If a notary has already completed a period of supervision under this rule but that supervision did not comply with rules 4(3)(a) or 4(3)(b) (additional supervision for notaries carrying out conveyancing and probate) and wishes to accept instructions to carry out conveyancing or



probate in his capacity as a notary he shall apply to the Master to set a period of supervision of three years or less relating solely to conveyancing or probate or both.

- (4) The Registrar on behalf of the Master may direct that the period of practice under supervision be extended in any particular case:
  - (a) as a condition of approving a change of supervisor under rule 5(7); or
  - (b) following his consideration of a report submitted pursuant to rule 7(1) or 7(2); or
  - (c) following disciplinary proceedings under the provisions of the Notaries (Conduct & Discipline) Rules 2015; or
  - (d) where the period of notarial practice has been interrupted; or
  - (e) where the supervisor has recommended the period be extended.

#### Selection of supervisor

5. (1) During the period of practice under supervision a notary to whom this rule applies (a "supervised notary") shall practise as a notary only under the supervision (as defined in rule 4) of another notary (a "supervisor") (as defined in rule 3) and shall notify the Faculty Office of the identity of his/her supervisor before the period of supervision commences.
- (2) For the purposes of rules 4(3)(a) and 4(3)(b) a supervised notary may have more than one supervisor.
- (3) A supervised notary to whom either or both of rules 4(3)(a) and 4(3)(b) applies may obtain supervision from an authorised person who has been in practice as such for a minimum period of five years.
- (4) If for the purposes of rules 4(3)(a) and 4(3)(b) a supervised notary has more than one supervisor each of those supervisors shall carry out the full extent of supervision required by these rules save that an additional supervisor may restrict his/her supervision to supervising the conveyancing or probate practice of the supervised notary (or both) for which reason he/she has been appointed.
- (5) A notary (or authorised person where paragraph (3) of this rule applies) acting as a supervisor shall be located within a reasonable distance from the office at which the supervised notary proposes to practise so as to enable the supervisor to visit that office from time to time as required by rule 6.
- (6) A supervised notary shall, upon the death or retirement from practice of his/her supervisor, forthwith make arrangements for another notary qualified under rule 3 to supervise his/her practice for the remainder of the required period;

and any time between the death or retirement of the former supervisor and the coming into effect of such arrangements shall not count towards the period of supervised practice.

- (7) If, for any reason other than the death or retirement of the supervisor, either party wishes the appointment of a particular supervisor to be terminated before the expiry of the required period of supervised practice application shall be made for that purpose to the Registrar who may terminate the supervision upon such conditions as he shall think fit subject to any directions of the Master.

### Extent of supervision

6. (1) The supervisor shall meet with the supervised notary on at least five occasions during the period of supervision as follows:
- (a) First, at the office of the supervisor before any period of supervision commences and after completion of the Office Practice Course required by Rule 10.5 and schedule 5 of the Notaries (Qualification) Rules 2017;
  - (b) Second, at the office of the supervised notary within one month after the supervised notary has carried out his/her first notarial act having first notified the supervisor and the Faculty Office of having accepted the instruction in respect of that act;
  - (c) Third, at the office of the supervisor no later than six months after the visit in (b) above;
  - (d) Fourth, at the office of the supervised notary within twelve months of the date of the visit in (c) above;
  - (e) Fifth, at the office of the supervisor no later than six months from the date of the visit in (d) above and not less than two years from commencement of the period under supervision.
- (2) In respect of a supervised notary to whom rule 4(3)(a) and/or rule 4(3)(b) applies, additionally:
- (a) First, at the office of the supervised notary within twelve months of the date of the visit in (1)(e) above; and
  - (b) Second, at the office of the supervisor no later than six months after the date of the visit in (b) above.
- (3) On each visit specified in this rule the supervised notary shall produce to the supervisor for inspection the records and accounts of the supervised notary

- (4) The supervisor may vary the venue of the visits required under (1) (d) and (1) (e) and (2)(b) at his/her discretion on reasonable grounds.
- (5) Where a supervised notary practises as a notary at more than one office, the supervisor shall ensure he/she visits each of those offices at least once during the period of supervision.
- (6) The supervisor shall take particular care to ensure (so far as he/she is able) that the supervised notary is aware of, and complies with, all Rules and Orders made by the Master under section 57 of the Courts and Legal Services Act 1990 including any Code or Codes of Practice approved by the Master pursuant to rule 5 of the Notaries Practice Rules 2014 (as amended from time to time).
- (7) If it appears to a supervised notary that papers relating to the business of a particular client cannot be shown to his/her supervisor without causing a breach of the duty of confidentiality owed to that client (whether on account of a relationship between the client and the supervisor, or because the supervisor is known to act for a person in competition with the client, or for any other reason), he/she shall inform the Registrar of that fact. The Registrar may nominate another notary (qualified to be a supervisor under rule 3 (but not subject to the same objections of confidentiality in respect of the client concerned) and the notary nominated shall, if willing to act, have the supervisor's rights and duties in relation to those papers.

### Reporting and Record

7. (1) A report in the format prescribed in schedule 1 of these rules of every visit and inspection made pursuant to rules 6(1) and 6(2) shall be made by the supervisor, lodged at the Faculty Office and inserted in the protocol kept by each notary pursuant to rule 23 of the Notaries Practice Rules 2014 (as amended).
- (2) Upon completion of the required period of practice under supervision (or upon the retirement from practice of a supervisor during such a period) the supervisor shall lodge a final report in the format prescribed in schedule 2 of these rules at the Faculty Office and (in the case of a report made upon completion of the required period of supervision) indicate whether in his/her opinion the supervised notary should thereafter be permitted to practise without supervision. The supervisor and the supervised notary shall respond in writing to any questions put by the Registrar or the Master in relation to the period of supervision and produce to the Faculty Office such documents as may be requested.

- (3) A record of any advice given by the supervisor under the provisions of rule 3(6) and rule 6 shall be retained by the supervisor for a period of not less than twelve years.

### **Fees**

8. A notary agreeing to act as a supervisor shall be entitled to charge the supervised notary a fee for each visit prescribed under rules 6(1) and 6(2) not exceeding the level prescribed from time to time in an Order made by the Master (which may include provision for expenses) together with the amount of any Value Added Tax due thereon. If for any reason the appointment of the supervisor ceases before the end of the period of supervision, the fee shall be apportioned pro rata or as the Master may direct.

### **Guidance and supervision**

9. The Faculty Office shall from time to time issue guidance to supervisors upon aspects of a notary's practice which should form part of the supervision carried out pursuant to rule 6 and which shall include, but not be limited to, the following:

Record keeping, accounts and billing and regulatory compliance including the Rules, Regulations and Orders made by the Master currently in force.

### **Continuing education and training**

10. Every supervised notary shall during each year of his/her period of practice under supervision attend;
  - (1) a Continuing Education Course approved by the Master and which shall provide a minimum of 4 hours of tuition in each course, the content of such courses to be approved from time to time by the Master; and
  - (2) if the supervised notary is carrying out conveyancing pursuant to rule 4(3)(a) a course in conveyancing comprising not less than 4 hours of tuition approved by the Master; and
  - (3) if the supervised notary is carrying out probate pursuant to rule 4(3)(b) a course in probate comprising not less than 4 hours of tuition approved by the Master.

### **Resuming practise after career break**

11. (1) Any notary who has ceased to practise as such for any reason for a period of five years or more shall complete such period of supervision and continuing

education to the extent and for such period specified by the Master and on such terms as the Master may direct.

- (2) The Registrar shall only issue a practising certificate to such notary pursuant to rule 3 of the Notaries (Practising Certificate) Rules 2012 in accordance with the directions of the Master given under rule 11 (1).

**Dispensations**

- 12. The Master may upon such application made to him as he deems sufficient and for good cause dispense any notary from the requirement of supervision under these rules or permit such lesser supervision as he considers practicable in the circumstances of any particular case.

**Revocation and Savings**

- 13. (1) Subject to rule 13(2) the Notaries (Post Admission) Rules 2009 (as amended) (the "2009 Rules") are hereby revoked.
- (2) Where a notary has commenced a period of practice under supervision prior to the coming into force of these rules the 2009 Rules shall continue to have effect in respect of that period of practice under supervision.

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**MASTER**

## SCHEDULE 1

### A: Initial Meeting Report

|    |  | YES | NO | ADDITIONAL COMMENTS |
|----|--|-----|----|---------------------|
| 1. | Does the supervised notary have equipment including seal press ready?  |     |    |                     |
| 2. | Has the supervised notary made adequate arrangements for record keeping facilities?  |     |    |                     |
| 3. | Are all the required Data Protection measures in place?  |     |    |                     |
| 4. | Does the supervised notary have an appropriate anti-money laundering risk assessment and related policies in place?  |     |    |                     |
| 5. | Has the supervised notary prepared complaints information and created a policy on how to deliver the 'signposting' information to the client?                                  |     |    |                     |
| 6. | Has the supervised notary made arrangements to ensure the delivery of all relevant consumer contracts and rights information to the client to comply with current legislation? |     |    |                     |
| 7. | What plans has the supervised notary made for advertising including, where applicable, the creation of a website?  |     |    |                     |

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| 8.  | If the supervised notary is employed, is a statement of independence in place?   |  |  |  |
| 9.  | Does the supervised notary's documentation (including website if applicable) make clear who regulates his/her practice?  |  |  |  |
| 10. | Has the supervised notary considered fee paying arrangements and how they are recorded?  |  |  |  |
| 11. | Is the supervised notary confident about advising on legalisation and ready to organise legalisation if his/her client requires it?  |  |  |  |
| 12. | Is the supervised notary's office suitable and accessible, secure and sufficiently private to maintain confidentiality?  |  |  |  |
| 13. | If the supervised notary is proposing carrying out notarial work in a foreign language enquire as to whether he/she is competent to do so and make arrangements for supervisory assistance in reviewing such foreign language documents in future meetings if the supervisor is not competent in that particular foreign language. |  |  |  |
| 14. | Has the supervised notary made adequate arrangements to comply with the requirements in the Notaries Practising Certificate Rules for professional   |  |  |  |

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|     | indemnity insurance cover and fidelity insurance cover ? |  |  |  |
| 15. | Any other comments?                                      |  |  |  |

**The supervisor should discuss with the supervised notary any gaps in the above report and any recommended measures or steps that the supervised notary should take. The supervisor should then send a copy of the report form to the supervised notary and to the Faculty Office.**



## B: Interim Reports

|    |   | YES | NO | ADDITIONAL COMMENTS |
|----|---|-----|----|---------------------|
| 1. | Have any changes or steps recommended following the initial report been implemented?  |     |    |                     |
| 2. | Look at the supervised notary's register to gain an overview of the number and range of jobs carried out since the last visit and note the approximate number of private jobs and commercial jobs.  |     |    |                     |
| 3. | Select 3-5 matters for discussion to include at least one public form document and one company matter (in each case if the notary has dealt with an instruction of that nature). Discussion should include checking that the work has been carried out correctly, that correspondence is being dealt with in a timely manner, that identification of clients is being carried out properly and that anti money laundering regulations are being observed. |     |    |                     |
| 4. | If any of the matters selected are in a foreign language only with which the supervisor is not familiar, make arrangements for a colleague to inspect said document.  |     |    |                     |
| 5. | Record in the 'additional comments' section any problems or positives arising from the inspection of the supervised notary's records and any advice given.  |     |    |                     |

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| 6.  | Has the supervised notary made any changes to the planned method of record keeping and if keeping records electronically, has the Faculty Office been provided with the necessary emergency security password(s)?   |  |  |  |
| 7.  | How is the supervised notary providing regulatory information to clients in practice?   |  |  |  |
| 8.  | How is the supervised notary assessing fees and is this information being communicated to clients in accordance with rule 18.1 of the Notaries Practice Rules?  |  |  |  |
| 9.  | <p>Is the supervised notary:</p> <ul style="list-style-type: none"> <li>(a) Taking adequate steps to identify their clients;</li> <li>(b) Complying with their AML/CTF risk assessment;</li> <li>(c) Reporting suspicious transactions to the National Crime Agency as necessary</li> <li>(d) Undertaking work within the meaning of regulations 12(1) or 12(2) of the Money Laundering and Terrorist Financing Regulations 2017</li> </ul> |  |  |  |
| 10. | <p>Is the supervised notary undertaking work which is not a reserved legal activity under s12 of the Legal Services Act 2007? Do you consider his/her skills and knowledge are adequate to do this? E.g. is the supervised notary advising on the law and procedures of foreign jurisdictions, drafting documents for use in foreign</p>  |  |  |  |

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|     | jurisdictions, advising on matters of English law?   |  |  |  |
| 11. | <p>Inspect the accounting arrangements of the supervised notary checking bills, invoices and receipts. If he/she has a notarial office bank account (and where he/she has a notarial client's account as well) who is able to authorise transactions on these accounts? Has adequate training been given to those people?</p> <p>If the supervised notary does not have a separate bank account, how are the notarial fees banked and disbursements and expenses paid for?</p> |  |  |  |
| 12. | Has the supervised notary had any negative feedback from clients not already communicated to the supervisor at the time?   |  |  |  |
| 13. | Any other comments?  |  |  |  |

**The supervisor should record any problems or positives from viewing the records within this report and then send the report to the supervised notary and to the Faculty Office.**

## SCHEDULE 2 Final Report

|    |   | YES | NO | ADDITIONAL COMMENTS |
|----|---|-----|----|---------------------|
| 1. | Have any changes or steps recommended following the last interim report been implemented?   |     |    |                     |
| 2. | Look at the supervised notary's register to gain an overview of the number and range of jobs carried out since the last visit and note the approximate number of private jobs and commercial jobs.  |     |    |                     |
| 3. | Select 3-5 matters for discussion to include at least one public form document and one company matter (in each case if the notary has dealt with an instruction of that nature). Discussion should include checking that the work has been carried out correctly, that correspondence is being dealt with in a timely manner, that identification of clients is being carried out properly and that anti money laundering regulations are being observed. |     |    |                     |
| 4. | If any of the matters selected are in a foreign language only with which the supervisor is not familiar, make arrangements for a colleague to inspect said document.  |     |    |                     |
| 5. | Record in the 'additional comments' section any problems or positives arising from the inspection of the supervisee's records and any advice given.   |     |    |                     |

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|     |   |  |  |  |
| 6.  | Has the supervised notary made any changes to the planned method of record keeping and if keeping records electronically, has the Faculty Office been provided with the necessary emergency security password(s)?   |  |  |  |
| 7.  | How is the supervised notary providing regulatory information to clients in practice?   |  |  |  |
| 8.  | How is the supervised notary assessing fees and is this information being communicated to clients in accordance with rule 18.1 of the Notaries Practice Rules?  |  |  |  |
| 9.  | Is the supervised notary:<br><br>(e) Taking adequate steps to identify their clients;<br><br>(f) Complying with their AML/CTF risk assessment;<br><br>(g) Reporting suspicious transactions to the National Crime Agency as necessary<br><br>(h) Undertaking work within the meaning of regulations 12(1) or 12(2) of the Money Laundering and Terrorist Financing Regulations 2017 |  |  |  |
| 10. | Is the supervised notary undertaking work which is not a reserved legal activity under s12 of the Legal Services Act 2007? Do you consider the supervised notary's skills and   |  |  |  |

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|     | <p>knowledge are adequate to do this? E.g. is he/she advising on the law and procedures of foreign jurisdictions, drafting documents for use in foreign jurisdictions, advising on matters of English law?</p>  |  |  |  |
| 11. | <p>Inspect the accounting arrangements of the supervised notary checking bills, invoices and receipts. If the supervised notary has a notarial office bank account (and where he/she has a notarial client's account as well) who is able to authorise transactions on these accounts? Has adequate training been given to those people?</p> <p>If the supervised notary does not have a separate bank account, how are the notarial fees banked and disbursements and expenses paid for?</p> |  |  |  |
| 12. | <p>Has the supervised notary successfully completed the compulsory continuing education requirements during the supervision period?</p>   |  |  |  |
| 13. | <p>Has the supervised notary had any negative feedback from clients not already communicated to the supervisor at the time?</p>   |  |  |  |
| 14. | <p>Does the supervisor consider that the supervised notary has had sufficient experience in a wide range of matters and dealt with a sufficient number of acts as would be reasonable to expect given the</p>   |  |  |  |

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|     | geographical location of the supervised notary?   |  |  |  |
| 15. | If the supervisor is happy to recommend that the supervised notary is ready to practise unsupervised please set out in the 'additional comments' section a statement to that effect and include any elements of the supervised notary's practice that have been particularly noteworthy and any aspects of his/her attitude and work methods that make him/her particularly successful as a notary. |  |  |  |
| 16. | If the supervisor is not happy to recommend the supervised notary is ready to practise unsupervised following the completion of his/her initial supervision period please set out the reasons why in the 'additional comments' box and the suggested period of additional supervision recommended by the supervisor.  |  |  |  |

**The supervisor should refer this final report to the supervised notary for his/her comments prior to submitting it to the Faculty Office.**