Law Society of Ireland

2026/2027 SOLICITORS' PROFESSIONAL INDEMNITY

COMMON PROPOSAL FORM IRELAND

CHECKLIST FOR REQUIRED ADDITIONAL DOCUMENTATION

1.	Q1.1	If your firm is established less than two years, please provide a business plan and CVs for all Partners and Principals.	☐
2.	Q1.3	If a branch office has no Partner or Principal in situ, please provide the CVs of the solicitors or registered lawyers based in the branch office.	☐
3.	Q2.1	If your firm's headed paper refers to any other firm or Preceding Practice that has not been included in Q1, please provide details and a copy of your letterhead.	☐
4.	Q3.4	If any fee earner, including any Partner or Principal, obtained their first legal qualification outside of Ireland, please provide an up-to-date CV for each relevant person.	☐
5.	Q4.1	Where applicable, please provide details and relevant reports if your firm or any prior firm or Preceding Practice has:	
		4.1.1 Been the subject of an investigation (for example, following a complaint) that has resulted in any adverse findings by the Law Society of Ireland, the Solicitors Disciplinary Tribunal, the Legal Services Regulatory Authority, the Legal Practitioners Disciplinary Tribunal or any other recognised body.	☐
		4.1.2 Received any inspection visits from the Law Society of Ireland..	☐
		4.1.3 Been the subject of an investigation by the Irish Financial Regulator or Central Bank of Ireland, or proceedings commenced by the Central Bank of Ireland.	☐
		4.1.4 Failed to pay any insurance premium or excess contribution.	☐
		4.1.5 Been declined professional indemnity insurance by any insurer or applied to the Assigned Risks Pool.	☐
6.	Q4.2	Please provide details and relevant reports if there has been a material change in your firm in the last three years, in relation to the legal entity, nature of work or location.	☐
7.	Q4.3	Please provide details and relevant reports if you expect there to be any significant changes to or in your firm in the coming year in relation to the legal entity, nature of work or location, including any merger or consolidation with another firm.	☐
8.	Q4.5	Where applicable, please provide details and documentation where available if any present Partner, Principal, consultant or any other legal employee in your firm has:	
		4.5.1 Been the subject of any investigation (for example, following a complaint) that has resulted in any adverse findings by the Law Society of Ireland, the Solicitors Disciplinary Tribunal, the Legal Services Regulatory Authority, the Legal Practitioners Disciplinary Tribunal or any other recognised body.	☐
		4.5.2 Been convicted of (or charged with but not yet tried for) any criminal offence involving fraud or dishonesty.	☐
		4.5.3 Previously been, or currently is, the subject of a petition for bankruptcy or any judgments or decrees that remain unsatisfied, in whole or in part.	☐
		4.5.4 Been refused a practising certificate, or granted a conditional practising certificate by the Law Society of Ireland.	☐
		4.5.5 Been the subject of a finding of misconduct by the Solicitors Disciplinary Tribunal or the Legal Practitioners Disciplinary Tribunal.	☐
		4.5.6 Previously been a Partner, Principal or Consultant in a Firm that is now in the Run-off Fund?	☐
9.	Q9.1	If your firm or any Preceding Practice, within the last seven years, sold a financial product or provided advice in connection with financial services, where such activity is regulated by the Law Society of Ireland, the Central Bank of Ireland, the *Investment Intermediaries Act 1995* or any other financial services regulation legislation, a separate questionnaire will be required, which will be supplied on receipt of your completed proposal form or can be downloaded from the website at http://www.lawsociety.ie/Solicitors/Practising/PII/	☐
10.	Q11.2.2	If you have applied for or achieved any risk-management or quality standard, please attach a copy of your report.	☐
11.	Q13.3	Please attach your current claims report provided by the relevant participating insurer(s) or the Assigned Risks Pool. If this is not yet available, please provide claims/circumstances details on the attached supplementary claims form.	☐
12.	Q13.4	If any Partner or Principal in your firm is aware, after careful enquiry of all solicitors and employees of the firm, of any loss or claim or circumstance that may give rise to a loss being sustained or a claim being made against or involving any person to be included in this insurance, their predecessors in practice, or any past partners, principals, directors or members, where such has not been previously notified to past or present insurers, please provide full details on a separate sheet.	☐

IMPORTANT NOTES

Common proposal form guidance notes should be read in conjunction with this form.

Please provide a full answer to every question and use supplementary sheets for questions where you may have insufficient space to answer a question. Some information, as directed and highlighted in bold font in the form, should be provided in the additional information section (section 16). Additional documentation to be provided with your proposal form is highlighted in red font in the form. The more information you provide, the more your broker will understand your firm to negotiate with the participating insurers on your behalf.

A Partner or Principal of your firm must sign and date this form, along with any supplementary sheets. In this form, the word 'Principal' means the sole practitioner or sole principal in your firm, and the word 'Partner' means a partner in your firm.

In this form, the terms "Preceding Practice" and "Succeeding Practice" are as defined in any applicable minimum terms and conditions.

1 YOUR FIRM'S DETAILS

1.1 Please list all practising titles, including associate companies, nominee companies and service companies. Please mark type against each: 'S' for Sole Practitioner/Sole Principal, 'P' for Partnership.

PRACTISING TITLE	TYPE	PRACTISING TITLE	TYPE

PRIMARY ADDRESS	DATE ESTABLISHED
	/ / ***If less than two years, please provide business plan and CVs for all Partners or Principals.***
LAW SOCIETY FIRM NUMBER	**PROFESSIONAL INDEMNITY CONTACT MR/MRS/MS**
F	

1.2 Please list the town of any branch office for which cover is required, together with the percentage of fees generated from each branch office. If you have no branch offices, please tick 'none'

None ☐

LOCATION	RESIDENT PARTNER/ PRINCIPAL	%	LOCATION	RESIDENT PARTNER/ PRINCIPAL	%
		%			%
		%			%
		%			%
PRINCIPAL OFFICE (If no branch office, this should be 100%)		%			
TOTAL FOR ALL (Must equal 100% including principal office)		%			

1.3 Please provide full details of how each office is supervised.
If there is no Partner or Principal in situ, please provide full details of same in section 16 and attach CVs of the solicitors or registered lawyers based in your branch office(s).

2 SUCCEEDING PRACTICE

2.1 Does your firm's headed notepaper refer to any other firm or Preceding Practice(s) not listed above?

Yes ☐ No ☐

If yes, please provide full details in section 16 and a copy of your letterhead.

2.2 Has your firm become a Succeeding Practice? Yes ☐ No ☐

If you have answered yes, please complete question 2.3.

2.3 Please provide details of all Preceding Practices to which your firm is a Succeeding Practice:

NAME OF FIRM(S)	PRECEDING PRACTICE HAS RUN-OFF COVER IN PLACE	DATE ESTABLISHED	DATE OF SUCCESSION	NUMBER OF SOLICITORS WHO JOINED YOUR FIRM
	Yes ☐ No ☐			
	Yes ☐ No ☐			
	Yes ☐ No ☐			

3. YOUR STAFF DETAILS

3.1 Please state the number of staff in your firm: ('FT' for full-time, 'PT' for part-time):

	2026 FT	2026	2025 FT	2025 PT	2024 FT	2024 PT	2023 FT	2023 PT
Principals/Equity Partners								
Salaried Partners								
Solicitors and Consultants								
Legal Executives								
Other fee earners								
Other staff*								

**Excluding cleaning, maintenance and other manual employees.*

3.2 Please provide all information requested for each fee earner listed in the table above, even if you are a Sole Practitioner or Principal:

	SOLICITOR NUMBER (IF APPLICABLE)	FULL NAME	YEARS AS A PRINCIPAL OR PARTNER IN YOUR FIRM (IF APPLICABLE)	DATE QUALIFIED (IF APPLICABLE)
1.		(Principal)		/ /
2.				/ /
3.				/ /
4.				/ /

3.3 With regard to any Partner or Principal in your firm:

3.3.1 Is any Partner or Principal in your firm also a Partner or Principal in another solicitor's firm?

Yes ☐ No ☐

3.3.2 Is any Partner or Principal in your firm involved in any other business activity?

Yes ☐ No ☐

3.3.3 Does any Partner or Principal in your firm have a financial interest in any other business activity?

Yes ☐ No ☐

If you have answered yes to any of the questions above, please provide full details, including number of hours worked, in respect of each relevant Partner or Principal in section 16.

3.4 Did any fee earner in your firm, including any Partner or Principal, obtain their first legal qualification outside of Ireland?

Yes ☐ No ☐

If yes, please provide full details of each relevant fee earners' solicitor number, solicitor name and place of qualification in section 16 and attach an up-to-date CV for each person mentioned.

3.5 References – please answer the following questions with regard to your firm's current staff. If your firm currently has no staff, please answer the questions with regard to your firm's recruitment practices.

3.5.1 Does your firm carry out full recruitment checks in respect of all Partners, Principals, consultants and employees?

Yes ☐ No ☐

3.5.2 Do the recruitment checks include the taking up of written and/or verbal references? Yes ☐ No ☐

3.5.3 Do the recruitment checks include, where relevant, questions about an individual's claims record? Yes ☐ No ☐

3.5.4 Do the recruitment checks include enquiries as to whether an individual has a disciplinary record with, for example, the Law Society of Ireland, Solicitors Disciplinary Tribunal, the Legal Services Regulatory Authority, the Legal Practitioners Disciplinary Tribunal or any other relevant body? Yes ☐ No ☐

If you have answered no to any of the questions above, please provide full details, including number of hours worked, in respect of each relevant Partner or Principal in section 16.

4. PRACTICE QUESTIONS

4.1 Has your firm, or any prior firm or Preceding Practice:

4.2 Been the subject of an investigation (for example, following a complaint) that has resulted in any adverse findings by the Law Society of Ireland, the Legal Services Regulatory Authority, the Solicitors Disciplinary Tribunal, the Legal Practitioners Disciplinary Tribunal or any other recognised body? Yes ☐ No ☐

4.2.1 Been the subject of an Irish Financial Regulator or Central Bank of Ireland investigation or proceedings commenced by the Central Bank of Ireland? Yes ☐ No ☐

4.2.2 Failed to pay any insurance premium or excess contribution? Yes ☐ No ☐

4.2.3 Been declined professional indemnity insurance by any previous or existing insurer or applied to the Assigned Risks Pool? Yes ☐ No ☐

4.3 Has there been a material change in your firm in the last three years in relation to the legal entity, nature of work or location? Yes ☐ No ☐

4.4 Do you expect there to be any significant changes to or in your firm in the coming year in relation to the legal entity, nature of work or location, including any merger or consolidation with another practice? Yes ☐ No ☐

If you have answered yes to any of the following questions 4.1, 4.2 or 4.3, please provide full details in section 16 including documentation where available.

4.5 Is your business a solicitor's firm only? Yes ☐ No ☐

If no, please provide full details of any non-regulated business (for example, a separately constituted financial services adviser operating outside of the Law Society of Ireland regulations) in section 16.

4.6 Has any present Partner, Principal, consultant or any other legal employee:

4.6.1 Been the subject of any investigation (for example, following a complaint) that has resulted in any adverse finding by the Law Society of Ireland, the Legal Services Regulatory Authority, the Solicitors Disciplinary Tribunal, the Legal Practitioners Disciplinary Tribunal or any other recognised body? Yes ☐ No ☐

4.6.2 Been convicted of (or charged with but not yet tried for) any criminal offence involving fraud or dishonesty? Yes ☐ No ☐

4.6.3 Previously been, or currently be, the subject of a petition for bankruptcy or any judgments or decrees that remain unsatisfied, in whole or in part? Yes ☐ No ☐

4.6.4 Been refused a practising certificate, or granted a conditional practising certificate by the Law Society of Ireland?
Yes ☐ No ☐

4.6.5 Been the subject of a finding of misconduct by the Solicitors Disciplinary Tribunal or the Legal Practitioners Disciplinary Tribunal? Yes ☐ No ☐

4.6.6 Previously been a Partner, Principal or Consultant in a Firm that is now in the Run-off Fund? Yes ☐ No ☐

If you have answered yes to any of the questions above, please provide full details in section 16 including documentation where available.

5. GROSS FEES (EXCLUSIVE OF VAT)

5.1 Do you have any US domiciled interests to be insured under this policy? Yes ☐ No ☐

5.2 Do you have any other overseas domiciled interests to be insured under this policy? Yes ☐ No ☐
If yes, please provide full details in section 16.

5.3 Please provide gross fees exclusive of VAT for the last five completed accounting periods and an estimate for the current year:

	YEAR ENDING	REPUBLIC OF IRELAND	USA/CANADA*	ANY OTHER JURISDIC-TION*	TOTAL
Estimated current financial year (year ending 2026)	/ / 2026	€	€	€	€
Annual accounting period year ending 2025	/ / 2025	€	€	€	€
Annual accounting period year ending 2024	/ / 2024	€	€	€	€
Annual accounting period year ending 2023	/ / 2023	€	€	€	€
Annual accounting period year ending 2022	/ / 2022	€	€	€	€
Annual accounting period year ending 2021	/ / 2021	€	€	€	€

Please also provide details of the work in section 16.

5.4 Does any one client or group of clients generate 20% or more of your annual fees? Yes ☐ No ☐
If yes, please provide full details section 16.

5.5 Does your firm provide advice in relation to any law other than the law in Ireland (including EU law to the extent that it forms part of the law in Ireland)? Yes ☐ No ☐

If yes, please confirm the jurisdiction under which the work is undertaken and state the gross fee income for the accounting period, together with full details of these activities, in section 16.

6. TYPE OF WORK

6.1.1 Please provide a percentage breakdown of the gross fee income for the last accounting period into the following categories:

Acting as arbitrator, adjudicator or mediator		%	Insolvency		%
Conveyancing – commercial (agricultural)		%	Litigation and arbitration (other)		%
Conveyancing – commercial (non-agricultural)		%	Landlord and tenant		%
Conveyancing – PPR		%	Mergers and acquisitions		%
Commercial and corporate – securities		%	Patent		%
Commercial and corporate – non-securities		%	Personal injury – defendant		%
Criminal law		%	Personal injury – litigant		%
Debt collection (judgment debts over €10,000)		%	Tax		%
Defendant litigious work for insurers		%	Wills, trust and probate		%
Employment		%	Other non-litigious		%
Family (excluding children)		%	Other low risk work*		%
Financial advice and services		%	Other work (state nature of work and %)		%
Immigration		%			%
Intellectual property (excluding patent)		%			%
Total (must equal 100%)					**%**

**Low-risk work includes debt collection under €10,000, children, mental health tribunal, welfare, administering oaths and taking affidavits, lecturing and related activity, expert witness, and planning.*

6.1.2 Are any substantial changes in the percentage amounts shown above anticipated during the next 12 months? Yes ☐ No ☐
If "Yes" please provide full details in section 16

6.2.1 Please estimate your firm's client base:

Construction		%	Privately held companies (other than above)		%
Entertainment and sport		%	Publicly held companies (other than above)		%
Financial institutions/banking		%	Other (please specify)		%
Government		%			%
Insurance		%			%
Private client		%			%

6.2.2 Are any substantial changes in the percentage amounts shown above anticipated during the next 12 months? Yes ☐ No ☐
If "Yes" please provide full details in section 16

6.2.3 What percentage of your fees relates to voluntary transfers of farms between family members (such as parents to children) %

7. NATURE OF WORK – 'NO FOAL, NO FEE' ARRANGEMENTS

7.1 Has your firm entered into 'no foal, no fee' type arrangements or any other form of conditional fee arrangements that have led to deductions from personal injury damages for solicitor/own client charges? Yes ☐ No ☐
If no, please move straight to question 8.

7.2 Do you use a written risk-assessment procedure before accepting such arrangements? Yes ☐ No ☐
If no, please provide full details in section 16.

7.3 Does a Partner or Principal agree each 'no foal, no fee' type or conditional fee type arrangement before it is offered to your client? Yes ☐ No ☐
If no, please provide full details in section 16.

8. NATURE OF WORK – PERSONAL INJURY

8.1 Has your firm been part of any referral network, claims management, or promotional group? Yes ☐ No ☐
If yes, please provide full details in section 16.

8.2 Please specify the largest and average settlements on behalf of any claimant in the last five years:

	AVERAGE	LARGEST
Personal injury settlement	€	€

8.3 Please estimate the number of personal injury cases you currently have where the expected settlement exceeds €250,000:

8.4 Is a diary system in place to record, monitor and review key dates in relation to personal injury cases? Yes ☐ No ☐

If yes, please confirm the person in the firm with responsibility for maintenance of the key dates diary system

9. NATURE OF WORK – FINANCIAL SERVICES AND PERSONAL INSOLVENCY WORK

9.1 Within the last seven years, has your firm or any Preceding Practice sold or assisted in the promotion of a financial product or provided advice in connection with financial services where such activity is regulated by the Law Society of Ireland , the Legal Services Regulatory Authority, the Central Bank of Ireland, the *Investment Intermediaries Act 1995* or any other financial services regulation legislation? Yes ☐ No ☐

If yes, a separate questionnaire will be required, which will be supplied on receipt of your completed proposal form or can be downloaded from the Law Society website at www.lawsociety.ie/Solicitors/business-career-resources/PII

9.2 Describe the financial advice and services provided by your firm:

9.3 Does your firm hold escrow accounts in relation to investment-related services? Yes ☐ No ☐

If yes, please describe what procedures are in place to prevent unauthorised withdrawals/inappropriate use of funds contained in such escrow accounts:

9.4 Does any individual in your firm provide services or intend to provide services as a personal insolvency practitioner under the *Personal Insolvency Act 2012*? Yes ☐ No ☐

If yes, please provide the names of the individuals authorised by the Insolvency Service of Ireland to carry out this work within your firm:

10. NATURE OF WORK – CONVEYANCING

10.1 Between 2016 and 2026, was more than 10% of your conveyancing turnover derived from a single source or referrer?
Yes ☐ No ☐
If yes, please provide full details in section 16.

10.2 Please provide details of the gross fees derived from both Principal Private Residential ("PPR") conveyancing and commercial conveyancing for the last five completed accounting periods and an estimate for the current year. Please complete the following table in respect of conveyancing fees charged and undertakings issued by your firm:
Please do not leave any section in the table below blank. For example, if the number of undischarged undertakings, transactions or gross fees for a particular year is zero, please insert a '0' into the box.

	PPR CONVEYANCING		COMMERCIAL CONVEYANCING		NUMBER OF UNDERTAKINGS THAT CURRENTLY REMAIN UNDISCHARGED	
	Gross fees	Number of transactions	Gross fees	Number of transactions	PPR conveyancing	Commercial conveyancing
Estimate for current year (2026)	€		€			
Last accounting period (2025)	€		€			
Annual accounting period ending 2024	€		€			
Annual accounting period ending 2023	€		€			
Annual accounting period ending 2022	€		€			
Annual accounting period ending 2021	€		€			
All other periods	N/A	N/A	N/A	N/A		
Grand Total Outstanding	N/A	N/A	N/A	N/A		

10.3 Has your firm given an undertaking in a situation where they are not in a position to fully discharge (including situations where your firm is not in receipt of stamp duty, or stage payment transactions)? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.4 Please provide the following information for the last ten years:

Highest PPR transaction value	€	Highest commercial conveyancing transaction value	€

10.5 In the last ten years, have fees been received in connection with sub-prime loans? Yes ☐ No ☐

If yes, please state the approximate number of transactions and names of all subprime lenders

10.6 Has your firm received any requests for conveyancing files or information from conveyancing files over the last six years from a lender or a lender's representative, other than in accordance with normal business (such as a standard audit)? Yes ☐ No ☐

10.6.1 If yes, how many?

10.6.2 Have you reported such requests to your insurer? Yes ☐ No ☐
If no, please provide full details in section 16.

10.6.3 Have any potential notifications made by you been declined by your insurer? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.7 Have any file requests resulted in a claim being made against you? Yes ☐ No ☐

10.7.1 If yes, how many:

10.7.2 Have they been reported to your insurer? Yes ☐ No ☐
If no, please provide full details in section 16.

10.7.3 Have any claim notifications been declined by your insurer? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.8 Have you made a block notification to your current insurer or any other previous insurer of all claims and circumstances that have arisen out of requests for your conveyancing files by a particular lender or in respect of a particular fee earner?
Yes ☐ No ☐
If yes, please provide full details in section 16.

10.9 Are you aware of any disputes, questions or queries arising from the provision of undertakings given or accepted by your firm? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.10 Have you received correspondence from any financial institution threatening legal action or a complaint to the Law Society of Ireland, the Legal Services Regulatory Authority, the Legal Practitioners Disciplinary Tribunal or Solicitors Disciplinary Tribunal in relation to a delay or non-compliance with an undertaking given by your firm?
Yes ☐ No ☐
If yes, please provide full details in section 16.

10.11 Are you aware of any actual or possible claim or circumstances against your firm arising from the transfer of any client assets to NAMA? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.12 Is any person in your firm a partner or principal with, a director of, or engaged with any client in any commercial partnership or venture that has as its primary objective investment in commercial or residential property? Yes ☐ No ☐
If yes, please provide full details in section 16.

10.13 10.13.1 Did you issue undertakings to financial institutions in respect of commercial property transactions between 1 December 2009 and 30 November 2010? Yes ☐ No ☐

10.13.2 If yes, how many:

10.13.3 Did you obtain additional cover for such transactions? Yes ☐ No ☐
Please note that you may be asked for evidence by insurers that you have purchased this cover.

11. RISK-MANAGEMENT PROCEDURES

Please answer 'yes' if you have implemented the relevant policy or procedure and can verify same if required.

Please answer 'no' if you have not implemented the relevant policy or procedure, or any part thereof in multi-part questions. If your answer to any question is 'no', or 'yes' but qualified, please provide full details and explanations in section 16.

If the answer to any of the questions is no, but your firm is working toward achievement of this objective, please provide full details in section 16 on what your firm has done so far to achieve this objective, what your firm plans to do to fully achieve the objective, and within what time scale.

GENERAL MANAGEMENT

11.1 Does your firm have written risk management procedures and are these reviewed at least annually by a Partner or Principal?

Yes ☐ No ☐

11.2 11.2.1 Have you applied for, or achieved, any risk management or quality standard? Yes ☐ No ☐

11.2.2 If yes, **please attach a copy of your report,** and provide details below of:

The number of times your firm was audited and accredited in the last three years	
The standards you have applied for or achieved	
Any scores awarded	
The date(s) accreditation was achieved	
When your accreditation expires	

NEW CLIENTS AND NEW MATTERS

11.3 Prior to acceptance of instructions, are new matters subjected to a written risk assessment that is signed off by a Partner or Principal to establish all of the following?

Yes ☐ No ☐

11.3.1 Whether the matter is within your firm's capability, capacity and competence
11.3.2 Whether the matter has unusual or higher risk factors than normal
11.3.3 Whether there is adequate time to complete the work and meet any critical dates
11.3.4 Whether any difficult issues relating to the work and/or your client are identified, recorded and can be managed
11.3.5 Whether following a review of the potential exposure values, your firm's liability should be capped (where this is appropriate and can be agreed with your client)
11.3.6 Whether work will be refused or referred elsewhere where a full duty of care cannot be given, or there are unmanageable conflicts, potential conflicts or other risks

11.4 Does your firm have formal written procedures for engaging new clients that include all of the following?

Yes ☐ No ☐

11.4.1 Issuing and acceptance of your firm's current terms and conditions
11.4.2 Defining the scope of the transaction
11.4.3 Where appropriate, limiting liability of your firm under section 44 of the *Civil Law (Miscellaneous Provisions) Act 2008*
11.4.4 Standard file-opening processes to capture all relevant client, owners, stakeholders and asset/liability details
11.4.5 Money laundering and client identity checks
11.4.6 Issuing a formal engagement letter capturing all the terms and conditions of the retainer

11.5 Are all new instructions reviewed to ensure that actual or potential conflicts of interest (either between your client and your firm, its Partners, Principals, consultants or employees) are:

11.5.1 Systematically identified? Yes ☐ No ☐

11.5.2 Recorded? Yes ☐ No ☐

11.5.3 Notified if relevant? Yes ☐ No ☐

11.5.4 Managed appropriately in accordance with procedures and specific training on this subject? Yes ☐ No ☐

11.6 Does the engagement letter explicitly state all of the following?

Yes ☐ No ☐

11.6.1 What work your firm will be conducting for your client (scope of instructions) including specific objectives
11.6.2 What your firm will not be doing for clients (that is, limitations to your remit, perhaps based on third party funding restrictions or referral source or other advisor involvement, or your client wishing to limit costs or remit generally)
11.6.3 Important dates and implications if these are missed.
11.6.4 What you expect your client to do and by when?
11.6.5 How long the matter is likely to take overall
11.6.6 The fee basis and how much it will cost in total (to include fees, disbursements, VAT and potential for other costs) and, if relevant, details of any fee-sharing or referral commissions and how this will be accounted for
11.6.7 Current terms and conditions of business (which may be a separate document)
11.6.9 Where appropriate, notification and information regarding your firm's limitation of liability under section 26A of the *Solicitors (Amendment) Act 1994*, as inserted by section 44 of the *Civil Law (Miscellaneous Provisions) Act 2008*, which has been agreed with your client

11.7 For insurance products or investments advised on and/or sold, does the engagement letter explicitly include all of the following?

Yes ☐ No ☐ N/A ☐

11.7.1 'Fair, clear and not misleading' financial services information
11.7.2 Status disclosure
11.7.3 Basis of advice
11.7.4 Demands and needs assessment
11.7.5 Correspondence suitability statement

Supervision and training

Please note that sole practitioners are not required to complete the Supervision and Training section. Sole principals and partnerships are required to complete this section. If you are a sole practitioner firm, please tick the following box and move straight to the File Management section:

N/A ☐

11.8 Do you operate a supervision system that includes all of the following?

Yes ☐ No ☐

11.8.1 A defined supervision structure with clear reporting lines that provides one or more named supervisors (the Principal, nominated Partners or other experienced advisors) for all personnel and for each field of law
11.8.2 Supervisors who are qualified to supervise in the assigned categories of work based on technical competence, experience and ability
11.8.3 Allocation and/or early review of new work by a Partner, Principal or supervisor
11.8.4 Setting aside a regular time slot to review workloads, check for progress and inactivity, prioritise work and to deal with problem cases
11.8.5 Agreed systems for reviewing incoming and outgoing correspondence, including post, DX, faxes and emails
11.8.6 Systematic indexing, filing, updating, using and sharing of precedents and professional information
11.8.7 Provision of training on identifying mortgage fraud to all Partners, Principals, consultants and employees who undertake conveyancing work
11.8.9 Direct supervision by a Partner or Principal of all PPR conveyancing transactions undertaken by the firm

11.9 Do frequent Partner or Principal meetings take place that deal with planning, monitoring and reviewing of training and supervision activities? Yes ☐ No ☐

11.10 Have all solicitors in your firm fully complied with their annual CPD requirements? Yes ☐ No ☐

File management

11.11 Does your firm comply with all of the following?

Yes ☐ No ☐

11.11.1 Carry out frequent file audits of files, including the files of Partners or Principals
11.11.2 Use a formal file review form when auditing these files
11.11.3 Carry out frequent file progress monitoring on current files
11.11.4 Require supervisors to independently check on file progress as appropriate

11.12 Do you have set policies for the management of client files that require all of the following?

Yes ☐ No ☐

11.12.1 Key information (such as critical dates, undertakings, risks and controls, plans and strategies) to be shown in a prominent position on the file
11.12.2 A summary list or plan identifying key stages and showing which are complete and which remain outstanding
11.12.3 The files to be kept in an orderly fashion in line with an agreed format and stored securely
11.12.4 Sensitive materials to be identified and recorded on the file along with any associated undertakings or conditions
11.12.5 Correspondence to be kept in date order and file kept up to date
11.12.6 Files and content to be identified consistently, be readily accessible and secure, whether in paper files and cabinets and/or electronic storage systems or shared drives
11.12.7 Client property to be identified, recorded on the file, stored and returned under secure conditions
11.12.8 Client confidentiality to be observed when managing client work, discussing client matters, taking files out of the office or providing information to third party service providers
11.12.9 Files to be archived securely for agreed periods and destroyed only with the approval of a Partner or Principal

11.13 11.13.1 Does your firm ensure that legible attendance notes confirming verbal instructions and/or written client instructions are held on the file with instructions confirmed in writing? Yes ☐ No ☐

11.13.2 Do your firm's attendance notes include all of the following? Yes ☐ No ☐

11.13.2.1 Requirements and objectives
11.13.2.2 Agreed billing and charge out arrangements, in a format and level of detail sufficient to comply with your firm's obligations under section 150 of the *Legal Services Regulation Act 2015*.
11.13.2.3 Issues raised and advice given
11.13.2.4 Options and associated risks
11.13.2.5 Action your firm will take
11.13.2.6 Timescales to complete the action
11.13.2.7 Any action your client should take

11.14 Does your firm operate a system for recording, monitoring and reviewing key dates which includes a procedure for absenteeism?

Yes ☐ No ☐

Conclusion of matters

11.15 Is a review (using a checklist of defined criteria) completed when each case is concluded to ensure that all the following have been considered and dealt with?

Yes ☐ No ☐

11.15.1 All undertakings have been discharged
11.15.2 Your client has been sent a letter advising that the matter has concluded, explaining the outcome and implications or other factors of note and, as appropriate, any need and timings for future review or action that your client should take
11.15.3 A copy of any final document(s) produced, signed and/or sealed where appropriate, is retained on the file
11.15.4 A final statement of account and fee note has been sent to your client
11.15.5 Any original documents, sensitive material, property or other assets have been returned and evidenced as such
11.15.6 Any client dissatisfaction or other outstanding problems have been resolved or, if not, reported as relevant
11.15.7 Any intentions for case publicity involving client details have been agreed with your client
11.15.8 All other concluding steps specific to work-type (such as registering and filing) and anything specific to your client's own service agreement have been completed

Undertakings

11.16 Does your firm have established procedures for the control of undertakings that include all of the following?

Yes ☐ No ☐

11.16.1 Information to ensure that all staff understand what an undertaking is
11.16.2 The authority required for giving undertakings
11.16.3 How undertakings should be worded
11.16.4 Where undertakings should be recorded, for example, in a prominent position on the case file and in a central register
11.16.5 Timescales for confirming oral undertakings in writing
11.16.6 Maintenance of a central record of all undertakings given, discharged and not discharged
11.16.7 A systemic means of monitoring undertakings by a Partner or Principal to ensure all obligations are fulfilled in a timely manner
11.16.8 A systemic means of ensuring that the Law Society's guidelines on undertakings have been followed

11.17 If you have established procedures in place for the control of undertakings, when were these established? / /

11.18 11.18.1 Has any solicitor acting in your firm ever been involved in a transaction that was or is resting in contract?

Yes ☐ No ☐

11.18.2 If yes, has an undertaking been furnished to the lending institution? Yes ☐ No ☐

11.18.3 If your firm has been involved in a resting-in-contract transaction that has subsequently been completed, has your firm received written confirmation from the relevant lending institution confirming that they have been released from the undertaking?

Yes ☐ No ☐

Financial

11.19 To what monetary limit may cheques, or the electronic equivalent, be signed by a sole signatory? €

11.20 Is anyone other than a Principal or equity Partner authorised to sign cheques? Yes ☐ No ☐

11.21 Does your firm reconcile all bank accounts (client and office) at least once a month? Yes ☐ No ☐

11.22 Has your firm complied with all its obligations under the *Solicitors Accounts Regulations*? Yes ☐ No ☐

Cybersecurity

11.23 Have measures, plans or controls been implemented within the firm to prevent or mitigate against fraud in the form of impersonation of your partners, directors, officers or employees (impersonation fraud) and impersonation of your suppliers/vendors (payment diversion fraud)?

Yes ☐ No ☐

11.24 Over the past 5 years has the firm faced one or more impersonation fraud attempts, payment diversion attempts or other fraud attempts involving impersonation of partners, directors, officers or employees?

Yes ☐ No ☐

If yes, please provide full details in section 16.

11.25 Have your telephone call reception desks been warned about the dangers of providing names and contact details of finance department staff and partners to callers "phishing" for information?

Yes ☐ No ☐

11.26 How are fund transfers over €10,000 made? Are all instructions subject to authentication by the employee receiving the request by one of the following:

Yes ☐ No ☐

11.26.1 Making a call back to the requestor using a predesignated telephone number held on file for the purpose of call back
11.26.2 Verifying that the requestor has the authority to make such instruction
11.26.3 Prior to the payment request being actioned, ensuring supporting documentation of the payment transfer request is provided
11.26.4 Verifying that any signature provided on any written instruction or telefacsimile matches that held on file
11.26.5 For e-mail instructions, verifying the requestors work e-mail address has been used
11.26.6 For telex or telefacsimile, ensuring the test key/algorithm matches that held on file

11.27 With respect to vendors/suppliers are all requests for payment subject to verification that such vendor/supplier is owed such funds?

Yes ☐ No ☐

11.28 Prior to payment are payment details verified with the supplier with those held on file?

Yes ☐ No ☐

11.29 Does the firm have back-up and recovery procedures for all mission critical systems, data and information systems?

Yes ☐ No ☐

11.30 Is the firm aware of any erroneous, mistaken, improper, or unauthorised release, loss or disclosure of personally identifiable information in its care, custody, or control or anyone holding such information on behalf of the firm in the last 3 years?

Yes ☐ No ☐

If yes, please provide full details in section 16.

11.31 Has the firm ever received any claims or complaints with respect to allegations of invasion or injury to privacy, identity theft, theft of information, breach of information security, or been required (by law or own volition) to provide notification to individuals due to an actual or suspected disclosure of personal information?

Yes ☐ No ☐

If yes, please provide full details in section 16.

11.32 Does the firm have a cyber liability policy in place?

Yes ☐ No ☐

If yes, please provide full details in section 16, including minimum limit of the cyber liability policy, whether the policy covers cyber-crime and the cyber-crime limit, and the renewal date of the cyber policy.

11.33 With regard to "fake president" and "social engineering" frauds:

11.33.1 Have all employees in accounting and payment functions, and anyone who has authority to transfer money, been made aware of "fake president" and "social engineering" frauds, and received recent and relevant training to avoid falling victim to those frauds?

Yes ☐ No ☐

11.33.2 Have internal controls and procedures surrounding bank account controls, funds transfer, and any other function where money transfer can take place, been reviewed to ensure that they are still appropriate and effective vis a vis "fake president/social engineering" fraud?

Yes ☐ No ☐

11.33.3 Has the audit function been briefed on the issue and ensured that points 11.33.1 and 11.33.2 have been fully complied with during audits?

Yes ☐ No ☐

11.34 Are all employees trained and assessed in privacy and security related matters such as phishing, identity theft, social media and mobile devices on at least an annual basis?

Yes ☐ No ☐

11.35 Are all employees required to evidence that they understand your privacy policy including use of your network?

Yes ☐ No ☐

11.36 Does the firm have specific IT security provisions in place?

Yes ☐ No ☐

If yes, please provide full details in section 16, including details of firewalls and use of antivirus software.

REMOTE AND HYBRID WORKING RISK MANAGEMENT

11.37 Has the firm put specific supervision measures in place with respect to remote working and/or hybrid working?

Yes ☐ No ☐

If yes, please provide full details in section 16.

SANCTIONS

11.38 Please confirm that instructions for all payments or fund transfers over €10,000 are subject to verification by making a call to the requestor using a predesignated telephone number held on file for the purpose of call back? Yes ☐ No ☐

If no, please outline on your headed paper how you ensure that payment details are verified

11.39.1 Are you aware of any dealings involving individuals, entities or governments which are targeted by UK, EU or US sanctions?

Yes ☐ No ☐

If no, please move on to Q11.40

11.39.2 If YES to Q11.39.1 above, do you have any active exit strategy in place? Yes ☐ No ☐

11.40 Are you aware of any dealings involving Cuba and/or Iran and/or Cuban/Iranian clients?

Yes ☐ No ☐

For clarity, you do not need to declare any dealings with individual clients of Cuban/Iranian origin who are resident outside of Cuba/Iran.

11.41.1 Do you have an operating office(s) in Russia, Belarus or Ukraine? Yes ☐ No ☐
If no, please move on to Q11.42

11.41.2 If YES to Q11.41.2 above, do you have an active exit strategy in place? Yes ☐ No ☐

11.41.3 Please advise what percentage of income is derived from this office(s) in the past financial year:

11.42 If you have answered YES to any of Q11.39.1, Q11.40 or Q11.41.1 above, do you have a formal sanctions process in place and regularly screen against UK, EU and US sanctions lists?

Yes ☐ No ☐

If NO to this question, please provide full details on your headed paper of the sanctions screening that the firm undertakes, whether it is at client on-boarding and/or as and when sanctions lists are updated, and whether counter-parties are screened

12. COVER REQUIRED FOR 2026/2027

The statutory minimum cover for solicitors' professional indemnity insurance in this jurisdiction is €1.5 million each and every claim.

12.1 Please state your choice of limits of indemnity (up to a maximum of three):

€ m	€ m	€ m

12.2 Please state your choice of excess each and every claim (up to a maximum of three):

€	€	€

12.3 Please provide details of your current insurance placement:

TOTAL LIMIT OF COVER			EXCESS		INSURER	BROKER
€		m	€			

12.4 Has your firm, or any Preceding Practice, ever been provided cover by the Assigned Risks Pool? Yes ☐ No ☐

13. CLAIMS AND CIRCUMSTANCES

13.1 Has your firm or any Preceding Practice made any claim or reported any circumstances to insurers in the last ten years?
Yes ☐ No ☐

13.2 Please provide details of all claims and circumstances, including notifications, made to insurers that are dormant for each of the following years, including any firm referred to in Question 2.

NOTE: Do not leave this section blank. If you have no claims or circumstances, please state 'no claims or circumstances'.

INDEMNITY PERIOD	NAME OF PARTICIPATING INSURER/ ASSIGNED RISKS POOL	NUMBER OF CLAIMS/ CIRCUMSTANCES	CLAIMS/CIRCUMSTANCES ATTACHED
2016-2017			
2017-2018			
2018-2019			
2019-2020			
2020-2021			
2021-2022			
2022-2023			
2023-2024			
2024-2025			
2026-2027			

13.3 *Please **attach your current claims report** provided by the above participating insurer(s) or the Assigned Risks Pool to this proposal form. If this is not yet available, please **provide claims/circumstances details on the attached supplementary claims form**.*

13.4 Is any Principal or Partner in your firm aware, after careful enquiry of all solicitors and employees of the firm, of any loss or claim or circumstance that may give rise to a loss being sustained or a claim being made against or involving any person or persons to be included in this insurance, their predecessors in practice, or any past partners, principals, directors or members, where such has not been previously notified to past or present insurers?

Yes ☐ No ☐

If yes, please provide full details on a separate sheet.

13.5 Are there any matters notified by your firm (or any Preceding Practice) to participating insurers or the Assigned Risks Pool that have not been accepted as an effective notification, or cover denied? Yes ☐ No ☐

If yes, please provide full details in section 16.

13.6 Please give details of all claims and circumstances not already notified to your insurers that may give rise to a claim. If none, please tick **None** ☐

DATE OF CLAIM/ CIRCUMSTANCE	CLAIMANT'S NAME	TYPE OF WORK (EG CONVEYANCING, FAMILY, ETC)	ESTIMATED COST OF CLAIM

13.7 Please confirm that all claims and circumstances have now been notified to your current insurer: Yes ☐ No ☐ N/A ☐

13.8 If yes, what date were they notified? / /

14. DUTY TO DISCLOSE MATERIAL INFORMATION

'Material information' is information that would influence an insurer in deciding whether a risk is acceptable and, if so, the premium terms and conditions to be applied. Insurers cannot avoid or repudiate claims for the cover required under the minimum terms but, if they later find you have not disclosed something material, they may charge an additional premium or, in the event of prejudice, seek recovery of the claim from you depending on the nature of the non-disclosure. For claims above the statutory minimum limit, failing to disclose such information could result in policy being rendered void so that claims would not be paid.

All material information must be disclosed to the insurer to enable terms to be negotiated and cover arranged. Where the Consumer Insurance Contracts Act 2019 applies, your duty to disclose material information is limited to answering all questions in this proposal form honestly and with reasonable care. Where the Consumer Insurance Contracts Act 2019 does not apply, this duty is not limited to answering specific questions that may have been asked in this proposal form. Any changes that may occur or come to light after a quotation has been given must also be notified.

To ensure the cover is not prejudiced, please refer to your broker if there is any doubt as to what information needs to be disclosed. If you proposal is a renewal, it is likely that any change in facts previously advised to insurers will be material, and such changes should be highlighted. If you are in any doubt as to whether a fact is material, you should disclose it.

15. DECLARATION

I/We hereby declare that:

I/We undertake to inform insurers of alterations to this proposal occurring before completion of a contract of insurance. I/We are satisfied that after careful enquiry of all Partners, Principals, consultants and employees of our firm, the above details are correct to the best of our knowledge and belief and that we have not suppressed or misstated any material facts. I/We understand that any fraudulent suppression or fraudulent misstatements of any material facts will be reported by insurers to the Law Society of Ireland. I/We authorise prior insurers of our firm to release to our broker any information that they may require, including all claims information that may be requested by insurers pursuant to this proposal for insurance. I/We understand that the information I/we provide will be passed to or used by our broker and by insurers for the purpose of providing insurance, underwriting, processing, claims handling and preventing fraud.

I/We acknowledge that, by submitting this proposal, I/we hereby consent to insurers carrying out any enquiries into our financial standing (including, but not limited to, a credit search with one or more (licensed) credit reference or fraud prevention agencies) to check our identity and credit status. Such enquiries may be made either before or during the existence of the contract of insurance.

I/We acknowledge and agree that, by submitting this proposal, I/we hereby consent, in the event of the legal practice carried on by me/us ceasing during or on expiry of any period of insurance provided by insurers, to our broker or insurers or the Special Purpose Fund Manager requesting and obtaining data (including but not limited to personal data as defined in the Data Protection Act 1988 and the Data Protection (Amendment) Act 2003) from relevant regulatory bodies, and to our broker or insurers or the Special Purpose Fund Manager processing such data for purposes in connection with providing run-off cover in accordance with the insurance policy conditions and/or regulatory requirements on such cessation.

I/We acknowledge that, by submitting this proposal, I/we hereby consent to our brokers or insurer providing, on request, the Law Society of Ireland with evidence of my/our insurance cover, and a copy of this proposal form and any accompanying documentation. I/We have read and understood the attached guidance notes in full, and have consulted them while filling out this form.

PRINT NAME	SIGNATURE OF PARTNER OR PRINCIPAL	DATE
		/ /

The completion of this proposal form does not bind the proposers or insurers to complete a contract of insurance but, if a policy is issued, this proposal form, together with any other information supplied prior to inception, shall form the basis of any contract of insurance effected thereon.

16. ADDITIONAL INFORMATION

Please denote which question each item of additional information relates to.

16. ADDITIONAL INFORMATION (CONTINUED)

Please denote which question each item of additional information relates to.