

Applying for Authorisation

Read the application form carefully and read the guidance that you can find on the CMR website at www.claimsregulation.gov.uk by clicking on “publications”, then “guidance”, then [Completing the Application Form](#).

The Claims Management Regulation Monitoring and Compliance Unit returns around 9 out of every 10 applications to the applicant, either because they are incomplete or because they are incorrect. These FAQs will help you to ensure that your application is not delayed by being returned to you.

1. I have a newly formed company – will this cause delay?

Yes it will if you have not formed the company correctly. If you are applying as a Limited Company or LLP then you should ensure your Company is correctly formed and that Companies House records are up to date before submitting the application to us. For other legal entities, there should be no delay due to being newly formed.

2. What do I need to include in my application?

You should make sure your application is correctly completed, signed in accordance with the instructions and accompanied with the relevant fee. If you do not, it will be returned as incomplete.

3. What else can I do to prevent my application from being returned as incomplete?

There are a number of common errors in the application forms we receive. Most of these are due to applicants not reading the questions fully. Common errors (*shown in bold italics*) include:

- a. Question 2.1: Name
The name given is not the legal entity.
For example, if you are a sole trader, give **your own name** not your business or trading name. Similarly, if the business is a limited company, give the registered name of the limited company in full.
- b. Question 2.2: Financial year end
The date is not given in the correct format.
Often applicants provide a month and year. Please give a **day** and **month, not a year**
- c. Question 2.23: Forecast turnover
No turnover is provided.
If you have not previously traded you **must** provide a forecast turnover.
- d. Questions 2.24 and 3.7: Exempt introducers
The answers to these questions don't match.

They should be both “yes” or both “no”. If the answers are different this will delay your application.

- e. Questions 2.25 and 3.14: Contracts with clients
The answers to these questions don't match.
They should be both “yes” or both “no”. If the answers are different this will delay your application.
- f. Questions 2.26 and 3.22: Representing clients
The answers to these questions don't match.
They should be both “yes” or both “no”. If the answers are different this will delay your application.
- g. Question 3.6: Operating client accounts
Answering this question when you have answered “no” to question 3.5.
You should only answer this question when you have said “yes” to question 3.5.
- h. Question 3.8: Responsibility for exempt introducers
Answering this question when you have answered “no” to question 3.7.
You should only answer this question when you have said “yes” to question 3.7.
- i. Questions 3.15 to 3.21: Contracts with clients
Answering these questions when you have answered “no” to question 3.14.
You should only answer these questions if you have answered “yes” to question 3.14.
- j. Questions 3.23 to 3.26: Representing clients.
Answering these questions when you have answered “no” to question 3.22.
You should only answer these questions if you have answered “yes” to question 3.22.
- k. Section 5: Declaration
The application form is not signed, or is signed by someone without appropriate authority.
The application **must** be signed in accordance with the instructions given on the declaration.

4. Where can I find further guidance on applying?

There is a guidance document to assist applicants on our website which can be found by going to the CMR website, www.claimsregulation.gov.uk, clicking on publications, choosing guidance and selecting: [Completing the](#)

[Application form](#). If you don't find the answer to your question in the guidance, please call us on 0845 450 6858 or 01283 233309.

5. Where can I find the Client Specific Rules?

The Client Specific Rules are contained in the [Conduct of Authorised Persons Rules 2007](#) which can found on our website under Publications / Rules. All applicants are advised to read this document before completing section 3.

6. Can I submit additional information with my application?

Yes. If you feel there is any information that would support or clarify any points in your application you may include it.