



Business Arrangements Code

This Code must be read with the Code of Conduct. The Code of Conduct is the parent document of the CLC Handbook and Frameworks; it sits above all other Codes in our regulatory arrangements. The Code of Conduct prescribes six Ethical Principles of behaviour which are essential to delivering the specific Outcomes which sit beneath each of the Ethical Principles. All CLC regulated individuals and bodies are expected to comply with the Code of Conduct in the delivery of authorised reserved legal activities and permitted non-reserved legal activities.

The CLC also publishes several other topic specific Codes addressing important areas of practice, including this Business Arrangements Code. Topic specific Codes underpin the Code of Conduct and support regulated individuals and bodies in delivering the Ethical Principles and Outcomes of behaviour defined in the Code of Conduct. Topic specific Codes apply to all regulated activities carried out by the individuals or bodies specified in that Code.

In this Code 'you' refers to individuals and bodies regulated by the CLC. You must ensure that you always comply with the Code of Conduct and topic specific Codes and must not permit anyone else to act or fail to act in such a way as to amount to a breach of this Code, the Code of Conduct, or the Ethical Principles. Should circumstances arise in which there is an apparent conflict between a topic specific Code, the Code of Conduct, or any other regulatory requirement, you must ensure that you comply with the Code of Conduct. If in doubt, contact the CLC for advice.

You must ensure that:

1. You carry on Reserved Legal Activity only through a person entitled to carry on that activity.
2. You do not conduct business under a misleading name.
3. You do not publicise your business through unsolicited communications in person or by telephone.
4. Your advertising is clear, accurate and fair.
5. All business communications, websites and office premises display information confirming the entity is regulated by the CLC, and the names of the Managers (identifying those who are Authorised Persons).
6. When acting as a CLC licensee, you accept instructions only to act in a matter which is regulated by the CLC.
7. You only accept instructions and act in relation to matters which are within your professional competence.
8. You cease acting in a matter if the Client so instructs or, in the absence of such instructions where it is reasonable to do so.

9. With the exception of disbursements, you do not delay completion because fees are outstanding to you.
10. You discuss and agree with the Client how costs will be paid, whether directly by the Client, by public funding, through an insurance policy or otherwise.
11. Control of an entity is from a permanent fixed address in England or Wales.
12. You make the Compensation Fund contribution determined by the CLC.
13. You obtain permission from the CLC before offering Reserved legal activities:
 - as a new business;
 - in an entity regulated by another Approved Regulator; or
 - through an entity with a Manager who is not a CLC Lawyer.

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