

Reporting Obligations to the Law Society under the Law Society Rules

	Rule	Brief Summary
Rule 2 Organization of the Society	2.19	Where a member wishes to apply for non-practising status, the member must file form 2.19A.
	2.20	<p>Where a member:</p> <ul style="list-style-type: none"> • Changes firms or place of work; • Changes name or style under which they carry practice; • Becomes a sole practitioner or a sole voting shareholder of a professional law corporation after having practiced in a firm with one or more other lawyers; • Commences practicing at a firm with one or more other lawyers after having practiced as a sole practitioner or as a sole voting shareholder of a professional law corporation; <p>the member must file form 2.20A and 5.07C.</p>
	2.21	Where a member wishes to commence or resume the practice of law, the member must file form 2.21A with a letter, and form 5.07C.
	2.22	Where a member wishes to apply for an exemption from professional liability insurance, the member must file form 2.22A.
	2.23	Where a member applies for permission to resign membership in the Law Society, the member shall file form 2.19A.
Rule 5 Uniform Trust Account Rules	5.06	A member shall report immediately to the Executive Director any overdrafts in the member's trust account with an explanation on how the overdraft occurred.
	5.07	A member shall provide written notice to the Executive Director when opening or closing a trust account and file form 5.07C.
	5.07	A member shall file with the Executive Director a Member's Annual Report in form 5.07A or a Declaration in form 5.07B.
	5.07	Any member claiming an exemption under Rule 5.09 must file with the Executive Director form 5.07B.
	5.09	A member who is registered as non-practising is exempt from filing form 5.07B.
	5.13	Every member shall immediately notify the Executive Director upon

		<ul style="list-style-type: none"> a) Receiving a petition under the <i>Bankruptcy and Insolvency Act</i> (RS 1985, C. B-3) in which the court is asked to make a receiving order with respect to a member's property; b) The making by the member of an assignment under the <i>Bankruptcy and Insolvency Act</i>; c) The making by the member of a proposal under the <i>Bankruptcy and Insolvency Act</i>.
	5.14(3)	A member must notify the auditor, selected by the Executive Director, of all trustee accounts over which the member has control.
Rule 6 Education and Bar Admission Rules	6.17(1)	Generally, every practising member of the Law Society is required to report their continued professional development activities in the Law Society's online portal on an annual basis no later than December 31 each year.
	6.06(1)	A student seeking admission must submit an application to the Law Society including Articles of Clerkship.
	6.09(5)	Students must file a report detailing their progress with respect to the experience and instruction.
	6.09(7)	Once a student fulfills the requirements set out in Rule 6, the student and their principal shall each file a Certificate of Completion of Articles with the Director of Admissions and Education.
	6.10(4)	Students seeking to appear on behalf of a client in a proceeding must contain the client's consent which shall be filed with the Director of Admissions and Education.
Rule 9 Discipline Rules	9.01.1	A law firm shall provide the Law Society with the name and address of a person from the law firm who is designated to receive information from the Law Society with respect to allegations, complaints and disciplinary matters involving a member of the law firm. Unless authorized by the Director of Professional Responsibility, the designated person shall be a member of the Law Society.
	9.37	When a members' suspension expires, the member shall file form 2.21A with the Law Society before having their status changed to that of a practicing member.
	9.42(1)	<p>Every member or student-at-law shall immediately notify the Executive Director upon:</p> <ul style="list-style-type: none"> a) Receipt of a petition under the <i>Bankruptcy and Insolvency Act</i> (RS 1985, C. B-3) in which the court is asked to make a receiving order with respect to the member or student-at-law's property; b) The making by the member or student-at-law of an assignment under the <i>Bankruptcy and Insolvency Act</i>; or c) The making by the member or student-at-law of a proposal under the <i>Bankruptcy and Insolvency Act</i>.

	9.43	<p>A member or student-at-law shall notify the Executive Director immediately upon:</p> <ul style="list-style-type: none"> a) A judgment becoming outstanding against them and remaining unsatisfied for a period of 30 days, whether or not an appeal from the judgment has been taken; b) A contempt order having been made against them; or c) The making of an order for costs against them personally under rule 55.14 of the <i>Rules of the Supreme Court, 1986</i>.
	9.44	<p>A member shall advise the Executive Director in writing immediately where the member has been charged with any offence pursuant to:</p> <ul style="list-style-type: none"> a) The <i>Criminal Code of Canada</i>; b) The <i>Controlled Drugs and Substances Act</i>; c) The <i>Income Tax Act</i>; or d) Any other Federal or Provincial legislation where the offence relates to a breach of trust, dishonesty or fraud, or the conviction for such offence may result in a period of incarceration. <p>A member shall advise the Executive Director in writing immediately where the member has pleaded guilty or was found guilty with respect to any offence pursuant to:</p> <ul style="list-style-type: none"> a) the <i>Criminal Code of Canada</i>; b) the <i>Controlled Drugs and Substances Act</i>; c) the <i>Income Tax Act</i>; d) any other Federal or Provincial legislation where the offence relates to a breach of trust, dishonesty or fraud, or the conviction for such offence may result in a period of incarceration.
<p>Rule 10 Fees and Related Matters</p>	10.03	<p>Members, students, professional law corporations, any applicants to become members, students, or professional law corporations, and any other entity making an application to the Law Society shall pay fees to the Law Society as prescribed by Benchers.</p>
	10.04(11)	<p>Every practicing insured member shall report and remit the accumulated transaction levy to the Law Society and shall file the Transaction Levy Summary form 10.04A within 30 days of the quarterly period ending on the last day of March, June, September, and December.</p>
	10.06(2)	<p>Where a member applies for permanent transfer under the National Mobility Agreement or the Territorial Mobility Agreement must maintain compulsory liability insurance until such a time as indicated by the Education committee, unless exempted by the Education Committee. The member must notify the Law Society of any change in insurance status.</p>

Rule 11 Professional Law Corporations	11.03	A corporation may apply to the Executive Director for a licence for corporation pursuant to Part III.1 of the <i>Law Society Act, 1999</i> , by submitting form 11.03A, copies of the corporation's certificate of incorporation or registration and its articles of incorporation, such other information required by the Executive Director, and the application fee prescribed by Benchers.
	11.03	A professional law corporation shall inform the Executive Director of any change in the particulars as outlined in form 11.03A, by providing to the Executive Director a certified statement of disclosure in form 11.03B within 15 days of the change.
	11.05	A professional law corporation shall deliver to the Executive Director on or before January 15, in each year: <ul style="list-style-type: none"> a) a certified statement of disclosure in form 11.03B; and, b) the annual fee prescribed by the Benchers.
Rule 15 Cash Transactions and Record Keeping Requirements	15.03(6)	Every member shall report in form 5.07A, on whether the member received cash in an aggregate amount greater than \$7,500 for any one client matter during the course of the reporting period, and indicate the exception under rule 15.02(4) permitting the member to accept such cash.
Reporting Obligations to the Law Society under the Code of Professional Conduct		
	Section	Brief Summary
	7.1-1	A lawyer must reply promptly and completely to any communication from the Law Society.

Chapter 7 Relationship to the Society and Other Lawyers	7.1-3	A member must report to the Law Society: <ul style="list-style-type: none"> a) the misappropriation or misapplication of trust monies; b) the abandonment of a law practice; c) participation in criminal activity related to a lawyer's practice; d) conduct that raises a substantial question as to another lawyer's honesty, trustworthiness, or competency as a lawyer; e) conduct that raises a substantial question about the lawyer's capacity to provide professional services; and f) any situation in which a lawyer's clients are likely to be materially prejudiced, unless to do so would be unlawful or would breach solicitor-client privilege.
	7.8-2	A lawyer must give prompt notice of any circumstance that may give rise to a claim to an insurer or other indemnitor.
Reporting Obligations to the Law Society under the <i>Law Society Act, 1999</i>		
	Section	Brief Summary
Part IV Law Foundation	69	A member or a professional law corporation who has a trust account must maintain an interest-bearing trust account and that interest must be paid to the Law Foundation each year. Following this section, Form LF1 must be completed for each new trust account opened and filed with the Law Society.
Reporting Obligations to the Law Society under the Lawyers' Professional Liability Group Policy		
	Section	Brief Summary
	4.3	A member must report a New Claim Report and submit it to the Insurance & Risk Manager as soon as practicable after learning of a claim or becoming aware of circumstances which might give rise to a claim, however unmeritorious.

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