



**LAW SOCIETY OF ONTARIO CHECKLIST FOR
APPLICATION FOR SURRENDER OF LICENCE TO
PROVIDE LEGAL SERVICES
UNDER BY-LAW 4**

Complete all sections of this application. The Law Society may investigate or verify any information supplied on this application form, and may require further explanation from you before your application is approved. Omissions or inaccuracies in your answers may delay processing. If the space provided for any answer is insufficient, complete your answer on a separate sheet, sign and date the sheet and staple it to this application form.

The Law Society may not be able to approve your application if you are:

- a) the subject of a complaint, audit, investigation, search or seizure by the Law Society; or
- b) a party to a proceeding under Part II of the *Law Society Act*.

IMPORTANT NOTE: Submitting an application to surrender your licence **will not** prevent you from being suspended for failing to comply with any administrative or regulatory requirement.

APPLICATION REQUIREMENTS: Please refer to Part III of By-Law 4 for more information

1. Submit your original and completed application form – **DO NOT FAX or EMAIL**
2. Submit any outstanding Paralegal Annual Report(s)
- 3a. Provide evidence from your bank that all open trust/mixed trust accounts have been closed and have a zero balance – applies to: (Sole Practitioners engaged in the provision of legal services in Ontario during the last 3 years) – Part D
OR
- 3b. Provide proof that you no longer have, or never had, signing authority over all trust/mixed trust accounts; provide a letter from the signing partner or your bank – applies to: (Partners and Employees engaged in the provision of legal services in Ontario during the last 3 years) – Part D
4. Provide all information regarding location of active or closed files – Part H
5. Provide an explanation indicating the reason for the surrender of licence request – other relevant details (where required) should also be included – Part B
6. Submit your signed insurance information and release form, authorizing the release of information to the Law Society – Part J
Note: The Law Society will not be able to approve your application if there are outstanding claims against you in your professional capacity

Questions about review and approval of applications should be directed to By-Law Administration Services by calling 416-947-3315 and asking to be transferred, or emailing bylawadmin@lso.ca

**Mail to: Law Society of Ontario By-Law Administration Services
Osgoode Hall, 130 Queen St W, Toronto, Ontario M5H 2N6**

NOTE: As a possible alternative to surrendering your licence, if you are 65 years of age (or older), or at any age if you are incapacitated and unable to practise law, you may qualify for exemption from the requirement to pay the Law Society annual fee and submit the Law Society annual report if the standards set out in subsections 4(1)–(5) of By-Law 5 and subsections 5(3)–(8) of By-Law 8 are satisfied.



**LAW SOCIETY OF ONTARIO APPLICATION FOR
SURRENDER OF LICENCE TO PROVIDE LEGAL SERVICES
UNDER BY-LAW 4**

Instructions: Complete all sections. Strike through any parts that are not applicable. Provide additional information on a separate sheet if required. Incomplete applications will delay processing.

PART A – APPLICANT’S INFORMATION

1. PERSONAL INFORMATION

Applicant’s Full Name:

Law Society Number:

2. BUSINESS CONTACT INFORMATION

Business or Employer Name and Address:

Telephone/Mobile:

Fax:

Email:

3. HOME CONTACT INFORMATION

Home Address including Postal Code:

Telephone/Mobile:

Email:

PART B – REASON FOR SURRENDER

Provide the reason(s) why you wish to surrender your licence:

PART C – PRACTICE HISTORY

Circle **ONE** response (**A or B**):

- A.** I stopped providing legal services as a licensed Ontario paralegal on the following date: _____
Month/Day/Year

OR

- B.** I never provided legal services as a licensed Ontario paralegal.

Note: If you engaged in the private provision of legal services as an Ontario paralegal within the last 3 years, a Notice of Intention to Surrender Licence will be published on your behalf in the Ontario Reports.

PART D – TRUST MONIES AND PROPERTY

Circle **ONE** response (**A, B or C**) that is most appropriate with respect to your provision of legal services as a licensed Ontario paralegal:

- A.** I provided legal services in Ontario as a sole practitioner within the last three years and:
(Circle i, ii or iii)

- i) I have accounted for and/or distributed all money and property held in trust (for which I was responsible), to the person(s) entitled to it or to another licensed paralegal entitled to provide legal services in Ontario or to a lawyer entitled to practise law in Ontario.
NOTE: Provide written confirmation from your bank that all open trust/mixed trust accounts have been closed.

OR

- ii) I have not accounted for and/or distributed all money and property held in trust for which I was responsible. **Provide an explanation in Part H.**

OR

- iii) I have **not** been responsible for any money or property held in trust.

- B.** I provided legal services in Ontario as a Partner/Employee within the last three years.

NOTE: Provide a letter from the firm's managing partner confirming that you no longer have signing authority, or never had signing authority, over any trust/mixed trust accounts.

- C.** I have never provided legal services in Ontario to the public as a licensed paralegal, or I have not within the last three years.

PART E – CLIENT FILES, DOCUMENTS AND PROPERTY

Choose **ONE** response (**A, B, C or D**) that is most appropriate with respect to your work as an Ontario paralegal:

- A.** I have disposed of client files or arrangements have been made to the satisfaction of my clients to have their files, documents and/or property returned to them.
- B.** I have transferred all client files, documents and/or property with the client’s authorization to another licensed paralegal entitled to provide legal services in Ontario or to a lawyer entitled to practise law.
Provide details in Part G.
- C.** I have not disposed of client files or made arrangements to have all client files, documents and/or property returned to them to their satisfaction. **Provide an explanation in Part H.**
- D.** I have not been responsible for any client matters, files, documents and/or property.

PART F – BY-LAW COMPLIANCE Answer **ALL** of the following questions:

- 1.** I confirm that I have completed and filed the Paralegal Annual Report to the last filing due date required of me.
YES NO
- 2.** I confirm that my legal services practice and any trust account(s) I have operated have been wound up, or that I no longer have signing authority over any of my firm’s trust/mixed trust accounts.
YES NO N/A
- 3.** Are you now, or have you within the last 12 months, been a shareholder, director or officer of a professional corporation or provided legal services through a professional corporation?
YES NO

If yes, provide the name of the professional corporation:

PART G Answer **ALL** of the following questions:

If you answer YES to any question below provide an explanation in Part I- SPECIFICS

- 1.** Are you aware of a professional liability insurance claim or any other claim against you in either your professional capacity or with respect to your paralegal practice?
YES NO
- 2.** Are you the subject of an audit, investigation and/or search or seizure by the Law Society?
YES NO
- 3.** Are you a party to a proceeding under Part II or section 33 of the *Law Society Act*?
YES NO

4. Are you aware of any complaint or charge pending against you in your professional capacity, which has not yet come to the attention of your Law Society or professional/regulatory/governing body?

YES NO

PART H – CLIENT PROPERTY AND FILE INFORMATION

I have transferred and disposed of my electronic and/or hard copy client files, documents and property as follows:

ACTIVE FILES

Transferred to and/or location stored (Name, Address)

Contact information (Name, Telephone Number)

CLOSED FILES

Transferred to and/or location stored (Name, Address)

Contact information (Name, Telephone Number)

PART I – SPECIFICS:

PART J – INSURANCE INFORMATION AND RELEASE

Answer **A or B** below. If you had multiple insurers, photocopy this page and attach it to your application.

A) I required insurance for the provision of legal services as a licensed paralegal

Complete the following insurance details:

Policy number:

Policy start date:

Policy End date:

INSURER CONTACT INFORMATION

Name of Insurer:

Address:

Telephone:

Fax:

Email:

INSURANCE BROKER INFORMATION

Name of Broker:

Address:

Telephone:

Fax:

Email:

I _____, of _____, hereby
(Full Name of Applicant) (City/Town/etc)

authorize and direct the insurer named above to provide information to the Law Society of Ontario about any claims against my policy for professional indemnity insurance with the insurer named above in order that the Law Society may process my application to surrender my licence at my own request.

Date: _____

Signature of Applicant: _____

Print Name: _____

OR

B) I have never required insurance for the provision of legal services as a licensed paralegal

Provide the reasons why you never required insurance directly below:

PART K – DECLARATION

I solemnly declare that all information provided by me with respect to this application, and in the documents provided in connection with this application, is true, accurate, and complete.

DECLARED BEFORE ME

at _____ ,

on the _____ day of _____ , 20

Signature of a Commissioner for Taking Affidavits:

Signature of Applicant:

Print Name: _____

Print Name: _____

NOTE: ONCE YOU HAVE SURRENDERED YOUR LICENCE, YOU MAY NOT PROVIDE ANY LEGAL SERVICES FOR WHICH A CLASS P1 LICENCE IS REQUIRED PURSUANT TO THE LAW SOCIETY ACT AND ALL APPLICABLE BY-LAWS MADE THEREUNDER.

(for office use only)

Approved by:

Approval date: