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- (h) reasonable fees or costs of counsel;
- (i) reasonable disbursements of counsel for the Society; and
- (j) any other amount, arising out of the proceedings, for which the Society would otherwise be liable.

[Rule 230(11) amended June 9, 1999]  
 [Rule 230(17)(h) amended December 2, 2010]

[next rule is Rule 240]

### **Benchers Review**

240. (1) An application for a review under section 23(4) or 24(3) of the *Act* shall be delivered to the Executive Director within 30 days after the action being reviewed was taken.

(2) Rule 230 applies to a review, with the necessary changes and so far as it is applicable.

(3) The Benchers may, after:

- (a) considering the transcript from and exhibits filed at a hearing conducted under Rule 230;
- (b) hearing the applicant; and
- (c) considering any evidence that they may in their discretion permit the applicant to adduce,

confirm the decision, or approve the application, subject to any terms and conditions they consider appropriate.

(4) The Benchers may vary or remove any terms and conditions imposed under subrule (3).

## **H. Education**

### **Education Policy**

250. The Committee may make mandatory minimum education policy requirements (hereinafter called the "policy" in this part).

### **Non-Compliance with Policy**

251. The Executive Director may, with respect to any member who fails to comply with the policy,

- (a) refer the member to Complaints Counsel;
- (b) refuse to issue a practising certificate to the member;
- (c) give notice that the member's practicing certificate will cease to be valid and the member will be suspended within 30 days unless the member complies with the policy.

252. A member who has been suspended due to non-compliance with the policy may apply to the Executive Director for reinstatement

- (a) by certifying completion of the minimum education requirements;
- (b) by submitting the fee required in Rule 871.

253. The Executive Director may approve the application for re-admission or refer the application to the committee.

[Rules 250 to 253 added May 1, 2009]

[next rule is Rule 260]

## I. Canadian Legal Advisor

### Transfer

260. (1) Subject to subrule (3), a member of the Barreau du Québec, with a Canadian Civil Law degree, or with a foreign degree and a certificate of equivalency from the Barreau du Québec, may apply for admission as a Canadian Legal Advisor by delivering to the Executive Director the following:

- (a) a completed application for admission as a Canadian Legal Advisor in a form approved by the Committee;
- (b) original or notarially certified documents verifying identity, including valid original government issued identification including a driver's license, birth certificate, passport or other document acceptable to the Law Society;
- (c) two testimonials in a form approved by the Committee, from two persons who have each known the applicant for at least 3 years, that the applicant is of good character and repute;
- (d) a certificate from the governing body of each Canadian Province and Territory of which the applicant is a member, stating:
  - (i) whether the applicant is a member in good standing;
  - (ii) whether the applicant is presently the subject of any disciplinary proceedings; and
  - (iii) the details of any previous disciplinary proceedings taken against the applicant;
- (e) an errors and omissions insurance application or exemption form;
- (f) the transfer application fee fixed by the Benchers under subrule 830(3); and
- (g) any other information and documents required by the *Act* or these Rules which is requested.

### Scope of Practice

261. (1) A Canadian Legal Advisor's practice is limited to the following:

- (a) give legal advice on:
  - (i) the law of Quebec and matters involving the law of Quebec;
  - (ii) matters under federal jurisdiction, or
  - (iii) matters involving public international law if insurance coverage is provided by the member's home jurisdiction;
- (b) preparing and drawing-up documents for use in a proceeding concerning matters under federal jurisdiction, or
- (c) appearing as counsel or an advocate before any tribunal with respect to matters under federal jurisdiction.

### Obligations

262. (1) A Canadian Legal Advisor must:

- (a) obey and observe all duties and responsibilities of a practicing lawyer under the *Act*, these Rules and the *Code of Professional Conduct*;
- (b) continue to be a member in good standing of the Barreau du Québec authorized to practise law in that Province; and
- (c) notify the Executive Director in writing if he or she becomes disqualified from the practise of law in Quebec.

### General

263. (1) Rules 180, 181 and 183 apply to applications for admission as a Canadian Legal Advisor *mutatis mutandis*.

**J. Rule Waivers**

264.(1) Notwithstanding Rule 1903, an application to waive a Rule under this part shall be directed to the Committee.

- (2) For applications under this Rule, applicants have the onus of proving that:
  - (a) the applicant's legal education and/or experience constitute exceptional circumstances sufficient to justify a waiver of the Rule;
  - (b) as a result of the applicant's legal education and/or experience, the applicant possesses the skills, competencies and qualifications equivalent to those required by the Rule sought to be waived;
  - (c) the waiver is not contrary to the best interests of the public, nor would it harm the standing of the legal profession generally; and
  - (d) to deny the waiver would result in significant hardship for the applicant.
- (3) The Committee may:
  - (a) grant with or without conditions or deny the application based on:
    - (i) written submissions of the applicant;
    - (ii) with leave of the Committee Chair, oral submissions;
  - (b) refer the application to a hearing panel appointed by the Chair of the Committee pursuant to Rule 230.

[Rule 264 added September 9, 2011]

[next rule is Rule 299]

## PART 8

### Professional Standards and Discipline

[heading amended February 4 & 5, 1993]

#### A. Definitions

299. In this Part,

**“competence”** means bringing adequate skill and knowledge to the practice of law including the management of a practice, as more particularly set out in Chapter II of *The Code of Professional Conduct* of the Law Society of Saskatchewan.

**“complainant”** means a person who has delivered a complaint about a member to the Society;

**“complaint”** includes:

- (a) a complaint made by a complainant under subsection 40(1)(a) or (c) of the *Act*; and
- (b) an allegation of conduct by a member as described in subsection 40(1)(b) or (d) of the *Act*;

**“complaints counsel”** means the person or persons designated by the Benchers under section 40(1) of the *Act* to review the conduct of members;

**“formal complaint”** means the document served on a member under 46(2) of the *Act* and Rule 430;

**“member”** means a member of the Society as set out in 2(1)(h) of the *Act* and includes a member of the governing body of the legal profession in another Canadian Province or Territory who is eligible to practice interjurisdictionally pursuant to the National Mobility Agreement and interjurisdictional practice protocol under Rule 192 or holds an interjurisdictional practice certificate issued under Rule 196 except where this is inconsistent with the protocol or with *The Legal Profession Act* as amended;

**“practice advisor”** means the person or persons designated by the Benchers for the purposes of subsection 41(1.1)(b);

**“Rule or Subrule”** means:

- (a) rule or subrule contained in these rules; and
- (b) the *Code of Professional Conduct* published by the Society and as amended from time

to time.

[Rule 299 amended February 4 & 5, 1993 and September 13, 1996]

[Rule 299 “competence” amended February 7, 2008]

[Rule 299 “competence,” “complaint,” “complaints counsel,” “formal complaint” and “member” amended; “practice advisor” and “Rule or Subrule” added June 17, 2010]

#### B. Complaints

##### Examination of Complaints

300. (1) Any person may deliver to the Society a complaint against a member.

(2) The complaints counsel may require that a complaint be reduced to writing.

(3) The complaints counsel may, and at the instruction of the Chairperson of the Conduct Investigation Committee shall, make or authorize a preliminary inquiry into the conduct of a member in order to determine the validity of a complaint.

(4) Subject to subrule (5), the complaints counsel shall deliver to a member in respect of whom a complaint is made, a copy of the complaint or, where in the opinion of the complaints counsel that is not practicable or appropriate, a summary of it.

(5) The Chairperson of the Conduct Investigation Committee may, if he or she considers it necessary for the effective investigation of the complaint, instruct the complaints counsel not to notify the member under subrule (4) until so directed by the Chairperson.

(6) The complaints counsel may require, from a member to whom a copy or summary of the complaint has been delivered under subrule (4), a response to the complaint.

(7) A member’s response shall:

- (a) unless the complaints counsel instructs otherwise, be in writing;

- (b) respond substantively to the complaint; and
  - (c) be delivered to the complaints counsel as soon as practicable, and in any event by the date set by the complaints counsel.
- (8) The complaints counsel may deliver to the complainant a copy of the member's response or, where in the opinion of the complaints counsel that is not practicable or appropriate, a summary of it.
- (9) After the investigation or other action taken under subrules (3) to (8), the complaints counsel:
- (a) shall take no further action on the complaint if he or she is satisfied that:
    - (i) the complaint does not fall within the Society's jurisdiction;
    - (ii) the complaint is not valid;
    - (iii) the complaint is trivial, frivolous or of a vexatious nature; or
    - (iv) the complaint does not raise an issue of ethics, competence or discipline; or
  - (b) shall refer the complaint to the Chairperson of the Professional Standards Committee, the Conduct Investigation Committee or to the Ethics Committee in accordance with section 40(2) of the *Act*.
  - (c) may attempt to mediate a resolution to a complaint which raises an issue of ethics, competence or discipline with the approval of the Chair of the Ethics, Professional Standards or Conduct Investigation Committee.
- (10) The complaints counsel may act under subrule (9)(b) or (c), notwithstanding that the matter giving rise to the complaint has been resolved.
- (11) A member whose conduct is complained of shall be given an opportunity to respond to the complaint before the complaints counsel makes a determination pursuant to subrule (9) except, where in the opinion of the complaints counsel, there is a danger that the best interests of the public or the profession would be compromised by so doing;
- (12) Where another complaint or complaints are already referred to a Committee and it would be appropriate to have all matters reviewed concurrently by the same chairperson the complaints counsel may refer a matter prior to receiving the member's response.

[Rule 300(4) amended March 27, 1992; Rule 300(9)(b) amended February 4 & 5, 1993]

[Rule 300(11) added December 6, 1996]

[Rule 300(3), (5), (9)(a)(iv), (9)(b), (10) and (11) amended; (9)(c) and (12) added June 17, 2010]

### **Notification to the Parties**

301. (1) The complaints counsel shall advise the member and the complainant, in writing, of his or her disposition under Rule 300(9).

(2) If the complaints counsel decides to take no further action on the complaint, then complaints counsel shall, unless it was previously done under Rule 300(8):

- (a) deliver to the complainant a copy of the member's response if any or, where in the opinion of the complaints counsel that is not practicable or appropriate, a summary of it; and
- (b) advise the complainant in writing of his or her right to apply for a review under section 43 of the *Act* and Rule 302.

[Rule 301(2) and (2)(a) amended June 17, 2010]

### **Complainants' Review Procedure**

302. (1) A Complainants' Review Committee is established, consisting of one or more persons appointed by the President and may consist of any Bencher and/or outside designated complaints counsel.

(2) A complainant who is dissatisfied with a decision of:

- (a) the complaints counsel that no further action will be taken on the complaint because it does not raise an issue of ethics, competence or discipline;
- (b) the Chairperson of the Professional Standards Committee under section 41(1.1)(a) of the *Act* that no further action will be taken on the complaint because he or she is of the opinion that the matter does not raise an issue of competence; or

- (c) the Conduct Investigation Committee under section 42(2)(a) of the *Act* that no further action will be taken on the complaint because the member's conduct does not constitute conduct unbecoming
- may apply in writing for a review of that decision.
- (3) (a) an application under subrule (2) shall be delivered to the complaints counsel within 30 days after the complainant was notified of the decision under review;
- (b) in exceptional circumstances the 30 day time may be extended by the Complainants' Review Committee.
- (4) The complaints counsel shall direct the application to one or more members of the Complainants' Review Committee and that member or members:
- (a) shall review the documents obtained, collected or produced by the complaints counsel under Rule 300;
- (b) may make such inquiries of the complainant, the member or any other person as it considers desirable; and
- (c) may, in its discretion, hear oral submissions from the complainant and/or the member whose conduct is the subject of the complaint.
- (5) The member or members of the Complainants' Review Committee referred to in (4) above shall:
- (a) confirm the decision of the complaints counsel or the Chairperson of the Conduct Investigation Committee or the Chairperson of the Professional Standards Committee to take no further action; or
- (b) refer the complaint to:
- (i) the Chairperson of the Professional Standards Committee; or
- (ii) the Conduct Investigation Committee, to proceed with the complaint in accordance with section 42(2)(b) or (3) of the *Act*; or
- (iii) the Chairperson of the Ethics Committee.
- (6) The Society shall promptly advise the complainant and the member, in writing, of the decision made under subrule (5).

[Rule 302(4), (5) & (6) amended October 23, 1992]

[Rule 302(5)(b)(i) amended February 4 & 5, 1993]

[Rule 302(2)(a) & 302(6) amended June 6 & 7, 1996; Rule 302(b) added June 6 & 7, 1996]

[Rule 302(5)(a) amended April 23, 1998]

[Rule 302(3), (4) and (5) amended June 11, 1998]

[Rule 302(3) amended September, 2006]

[Rule 302(1), (2)(a) and (c), (3)(a), (4), (5)(a) and (5)(b)(ii) amended; (3)(b) added June 17, 2010]

### **Ethics Committee**

303. (1) The Ethics Committee shall review any referral or request made by:
- (a) complaints counsel;
- (b) other Committees;
- (c) request for ruling made pursuant to (2).
- (2) Any person may request a ruling from the Ethics Committee for a ruling on an ethical issue.
- (3) Upon receipt by the Ethics Committee of a referral or request, the Committee may:
- (a) make whatever recommendations it sees fit to resolve the conflict of interest or potential conflict of interest;
- (b) decline to make a ruling;
- (c) give opinions and make professional conduct rulings on questions of professional ethics, for the guidance of the profession;
- (d) make recommendations to the Benchers and to the Discipline Committee respecting professional ethics and the development of and revisions to *The Code of Professional Conduct*; and
- (e) refer matters to the Conduct Investigation Committee or Professional Standards Committee.
- (4) The Ethics Committee shall administer the Society's Rules respecting the marketing of legal services.

(5) The Ethics Committee may make whatever enquiries it thinks necessary and may follow whatever procedure it finds to be most efficient.

[Rule 303 added April 27, 1995]  
[Rule 303 amended in its entirety, including heading, June 17, 2010]

[next rule is Rule 321]

## C. Professional Standards

[Subheading C amended February 4 & 5, 1993]

### Review of Referral by Chairperson

321. The Chairperson of the Professional Standards Committee shall review any referral made by:

- (1) Complaints Counsel;
- (2) the Ethics Committee;
- (3) the Conduct Investigation Committee.

[Rule 321 amended February 4 & 5 1993; June 6 & 7, 1996; June 10, 1999; September 9, 1999]  
[Rule 321 heading amended; Rule 321 amended and (2)(a) through (f) deleted; (3) added December 3, 2009]  
[Rule 321(3) amended June 17, 2010]

322. The Chairperson of the Professional Standards Committee may make or authorize further inquiries.

[Rule 322 amended February 4 & 5 and September 17, 1993 and June 10, 1999]  
[Rule 322 Professional Standards Investigation Committee heading deleted; Rule 322 amended; (a) through (e) deleted December 3, 2009]

323. (1) Upon completion of the review in Rule 321 and 322, the Chairperson shall:
- (a) refer the matter to the Conduct Investigation Committee in accordance with section 41(4) of the *Act*;
  - (b) refer the matter to the Ethics Committee in accordance with section 41(4) of the *Act*;
  - (c) in accordance with section 41(1.1)(b) of the *Act*, conduct an investigation and/or direct that a law office management review of the member's or the member's law firm's practice be conducted by a practice advisor including, where appropriate, a review of some or all of the member's client files and an examination of the procedures in place to reduce the risk of complaints and liability for insurance claims; or
  - (d) hear an application by the member for resignation instead of continued proceedings as per Rule 400.1 and may grant or reject the application as set out in Rule 400.1;
  - (e) direct that no further action be taken if the matter does not raise an issue of competence, or
  - (f) request that the member:
    - (i) complete satisfactorily a remedial program which may include one or more of the following:
      - (A) one or more continuing legal education courses approved by the Chairperson;
      - (B) a remedial course approved by the Chairperson;
      - (C) one or more courses approved by the Chairperson, which is or are offered by an approved education provider;
      - (D) a mentor program approved by the Chairperson; or
      - (E) any other remedial program specified by the Chairperson which is intended, if carried out, to improve the knowledge or skill of the member in carrying on his or her practice of law.
    - (ii) restrict voluntarily his or her practice to specified areas of law until the member's remedial program has been completed satisfactorily;
    - (iii) complete satisfactorily an examination approved by the Chairperson;

- (iv) appear before a panel of examiners appointed by the Chairperson;
  - (v) implement measures to reduce the risk of liability insurance claims;
  - (vi) obtain a psychiatric or psychological assessment or counselling, or both, and if the Chairperson requests, provide a report on that assessment or counselling to the Chairperson;
  - (vii) obtain a medical assessment or assistance, or both, and if the Chairperson requests, provide a report of that assessment or assistance to the Chairperson;
  - (viii) practise in a setting approved by the Chairperson;
  - (ix) take such other steps as the Chairperson directs which are intended to improve the knowledge or skill of the member in carrying on his or her practice of law.
- (2) When making requests under subrule (1)(e), the Chairperson may:
- (a) receive, on behalf of the Society, undertakings given by the member; and
  - (b) set one or more dates by which the member shall complete the requests; and
  - (c) request that the member pay part or all of the cost of the matters described in subrule (1)(e).
- (3) The Chairperson may, on application by the member or by the Society, extend the date by which a request shall be completed.
- (4) The Chairperson shall advise the member of his or her decision under subrule (1) and may request that the member meet with the Committee where it has made a request under subrule (1)(e), deliver a copy of that request to the member.
- (5) Complaints counsel shall advise the complainant in writing of the Chairperson's decision under subrule (1), but shall not deliver to the complainant a copy of the Chairperson's request under subrule (1)(e).

[Rule 323(2) amended February 4 & 5, 1993 and June 10, 1999]

[Rule 323 Law Office Management and File Reviews header deleted; amended Rule in its entirety December 3, 2009]

[Rule 323 number (1) inserted, 323(1)(a) through (d) amended; 323(e)(i) through (ix), (2), (3), (4) and (5) added June 17, 2010]

[Rule 323(1)(d) – new (d) added, changing alphabetical sequence from (a) – (e) to (a) – (f) April 14, 2011]

[Rule 324 amended February 4 & 5, 1993]

[Rule 324 (1) amended; 324 (2) (a) through (f) added December 3, 2009]

[Rule 324 Report to the Professional Standards Committee deleted June 17, 2010]

[Rule 325 amended February 4 & 5, 1993; March 27, 1992 and June 10, 1999]

[Rule 325 heading amended; Rule 325 (1)(i)(A) to (E), (iii), (iv), (vi) to (ix) amended; (2) and (2)(c) amended;

(3), (4) and (5) amended December 3, 2009]

[Rule 325 Action by the Chairperson of the Professional Standards Committee deleted and a portion moved to become part of Rule 323 June 17, 2010]

## Confidentiality of Competence Matters

326. (1) Any:

- (a) information and documents which form part of a Professional Standards complaint, review or investigation.
- (b) any action taken or decision made respecting a Professional Standards complaint, review or investigation; and

any report prepared for a Professional Standards Committee Chairperson or

- (c) by a practice advisor shall be treated confidentially and, unless otherwise ordered by the Professional Standards Committee, shall not be disclosed except for the purpose of complying with the objects of the *Act* or in responding to an enquiry made for the purpose of a potential judicial appointment.

[Rule 326(1) amended February 4 & 5, 1993]

[Rule 326 (1)(a) and (b) amended December 3, 2009]

[Rule 326(1)(a), (b) and (c) amended June 17, 2010]

[next rule is Rule 400]



## D. Discipline

### Review by Conduct Investigation Committee

400. (1) The Conduct Investigation Committee:
- (a) shall promptly review any complaint submitted to it by complaints counsel, by the Chairperson of the Professional Standards Committee, by the Complainants' Review Committee or by the Ethics Committee; and
  - (b) may investigate any conduct of a member that may constitute conduct unbecoming, and may make or authorize whatever inquiries and investigations it considers desirable.
  - (c) may investigate any other matter that comes to its attention during the course of an investigation, that could potentially constitute conduct unbecoming.
  - (d) shall complete an inquiry or investigation under this rule as soon as practicable.
- (2) Upon completion of the review or investigation, the Conduct Investigation Committee shall provide a report:
- (a) directing that no further action be taken, if it is of the opinion that the complaint does not constitute conduct unbecoming;
  - (b) inviting the member to meet with a Conduct Review Committee under Rule 401;
  - (c) referring the complaint to the Ethics Committee or the Professional Standards Committee;
  - (d) directing the Chair of Discipline to appoint a Hearing Committee under 47(1) of the *Act*, to hear and determine a formal complaint.
- (3) The Conduct Investigation Committee shall advise the member and the complainant, in writing, of the action taken under subrule (2).

### Resignation in the Face of Discipline

- (4) A member may apply to the Conduct Investigation Committee to resign in the face of discipline deemed equivalent to disbarment
- (a) with consent of Counsel for the Conduct Investigation Committee;
  - (b) at any stage of the investigation by a Conduct Investigation Committee prior to formal charges, or;
  - (c) at any time after the formal charges, prior to the commencement of the Hearing.
- (5) The Conduct Investigation Committee may hear an application to resign in the face of discipline, deemed equivalent to disbarment, as follows:
- (a) in order to make an application to resign, the member must make admissions with respect to the conduct under investigation and enter into an Agreed Statement of Facts;
  - (b) the Conduct Investigation Committee may reject the application pending the completion of the discipline process;
  - (c) The Conduct Investigation Committee may grant the application and accept the member's resignation in the face of discipline, deemed equivalent to disbarment, and may impose conditions on the acceptance of same;
  - (d) conditions imposed by the Conduct Investigation Committee may include a time period of up to 5 years during which the member will not re-apply and further include that, upon any application for re-admission, the Agreed Statement of Facts will be considered;
  - (e) The Conduct Investigation Committee may require the member to provide particular Undertakings which shall remain on the member's file and be reviewed and considered upon any future application for readmission; such Undertakings may provide that the member will:
    - (i) complete a remedial educational program;
    - (ii) restrict voluntarily his or her practice to specified areas of law;
    - (iii) obtain a psychiatric and/or psychological and/or addictions assessment or counselling, or both;
    - (iv) obtain a medical examination and/or opinion as to the member's capability to practice law;

- (v) provide any other Undertakings the Conduct Investigation Committee deems appropriate.
- (f) any application for readmission for a member whose application for resignation in the face of discipline equivalent to disbarment shall be under section 211 of the Rules, the same as a disbarred member;
- (g) if the Conduct Investigation Committee accepts a resignation in the face of discipline equivalent to disbarment, pursuant to this sub clause, the Agreed Statement of Facts shall be published in the same manner and to the same persons as the Notice required by Rule 495;
- (h) nothing in this Rule affects the ability of the Hearing Committee to permit a member to resign as a penalty pursuant to section 53(3)(a)(vii) of *The Legal Profession Act, 1990*.

[Rule 400(1)(a) amended September 17, 1993; Rule 400(2) amended December 4, 1992; Rule 400(2)(d) amended February 4 & 5, 1993]

[Rule 400 heading amended, 400(1)(a) and (b), (2)(a) through (d), and (3) amended; 400(1)(c) and (d) and (3)(a) through (f) added; (2)(e) deleted June 17, 2010]

[Rule 400(3) amended to delete items (a) – (f); Resignation in the Face of Discipline items (4) and (5) added April 14, 2011]  
[Rule 400(2)(b) amended October 21, 2011]

### **Resignation Instead of Continued Proceedings**

- 400.1 (1) A member may make an application to resign instead of continued proceedings to:
- (a) a Conduct Investigation Committee in the early stage of an investigation or after formal charges but before commencement of a hearing;
  - (b) the Chair of the Professional Standards Committee at any time during a review pursuant to Rule 323;
- (2) The Conduct Investigation Committee, or Chair of the Professional Standards Committee, may hear the application to resign instead of continued proceedings, as follows:
- (a) by consent of Counsel for the Law Society;
  - (b) the member must make admissions and enter into an Agreed Statement of Facts;
- (3) The Conduct Investigation Committee, or Chair of the Professional Standards Committee, may:
- (a) accept the resignation instead of continued proceedings;
  - (b) impose conditions which include a time period of up to 5 years during which the member will not re-apply and further include that upon any application for re-admission, the Agreed Statement of Facts will be considered;
  - (c) require the member to provide particular Undertakings which shall remain on the member's file and be considered upon any future application for readmission; such Undertakings may include but are not limited to clauses which provide that the member will:
    - (i) complete a remedial educational program;
    - (ii) restrict voluntarily his or her practice to specified areas of law;
    - (iii) obtain a psychiatric and/or psychological and/or addictions assessment or counselling, or both;
    - (iv) obtain a medical examination and/or opinion as to the member's capability to practice law;
    - (v) provide any other Undertakings the Conduct Investigation Committee deems appropriate;
  - (d) reject the application pending completion of the respective discipline or professional standards processes.
- (4) If the Conduct Investigation Committee accepts a resignation pursuant to this sub clause, the Agreed Statement of Facts and any decision rendered by the Conduct Investigation Committee shall be published in the same manner and to the same persons as the Notice required by Rule 495;
- (5) If the Professional Standards Committee Chair accepts a resignation pursuant to this Rule, the Agreed Statement of Facts shall remain on the member's file to be reviewed and considered at any future reinstatement proceedings, but not published as per Rule 326 regarding confidentiality of Professional Standards matters;

- (a) the Conduct Investigation Committee may reject the application pending the completion of the discipline process;
- (b) the Chair of the Professional Standards Committee may reject the application pending the completion of the Professional Standards Investigation and Law Office Management Review.

[Rule 400.1 Resignation Instead of Continued Proceedings added April 14, 2011]

### **Conduct Review Committee**

401. (1) The Conduct Investigation Committee may appoint one or more persons as a Conduct Review Committee, to make an informal investigation of a matter referred to it under Rule 400(2)(b), and to counsel the member.

- (2) At a Conduct Review:
  - (a) the member shall appear personally;
  - (b) the meeting shall be private; and
  - (c) the proceedings shall be informal.
- (3) Following the meeting under subrule (2) the Conduct Review Committee shall advise the Conduct Investigation Committee in writing that the review has been completed.
  - (a) Conduct Review Reports will be summarized and published anonymously.
- (4) When a hearing is held under Rule 450 in respect of a matter investigated under this Rule:
  - (a) any report prepared by the Conduct Review Committee may not be admitted at the hearing; and
  - (b) a member of the Conduct Review Committee shall not, except in response to a question by the member, testify as to any statement made by the member during the conduct review.

[Rule 401(1) amended December 12, 1997 and April, 2002]

[Rule 401(1), (3) and (4)(a) amended June 17, 2010]

[Rule 401(1), (2), (3), (4)(a) and (b) amended; (3)(a) added October 21, 2011]

[Rule 402(3) added October, 2003]

[Rule 402 Investigation Committee deleted June 17, 2010]

### **Action by the Chairperson of the Discipline Committee**

403. The Chairperson of the Discipline Committee shall, after receiving a report from the Conduct Investigation Committee, under Section 46(1) of the *Act* and Rule 400(2)(d), appoint a Hearing Committee to hear and determine a formal complaint.

[Rule 403 amended; 403 (a) and (b) deleted June 17, 2010]

### **Notification of Parties**

404. The Chairperson of the Discipline Committee shall promptly notify the member and the complainant, in writing, of the appointment of a Hearing Committee under Rule 403.

[Rule 404 amended June 17, 2010]

### **Confidentiality**

405. Any:
- (a) information and documents considered;
  - (b) decisions made or action taken; and
  - (c) reports prepared, other than publication of anonymous Conduct Review Reports as per 401(3)(a)

under Rules 400 to 404 shall be kept confidential and, unless otherwise ordered by the Chairperson of the Discipline Committee, or otherwise set out in the Rules, shall not be disclosed except for the purpose of complying with the objects of the *Act* or in responding to an enquiry made for the purpose of a potential judicial appointment.

[Rule 405 amended April 14, 2011]  
 [Rule 405(c) amended October 21, 2011]

[next rule is Rule 420]

### **Interim Suspension**

420. (1) Subject to subrule (2), a Conduct Investigation Committee shall, before suspending a member under section 45 of the *Act*:

- (a) notify the member that consideration is being given to his or her suspension, for the reasons specified in the notice; and
- (b) give the member a reasonable opportunity to make representations to the Conduct Investigation Committee respecting the suspension.

(2) A Conduct Investigation Committee may act under section 45(1) of the *Act* without complying with subrule (1) if it is satisfied that such action is necessary to protect the public or the member's clients, or both.

(3) If a Conduct Investigation Committee orders an oral hearing:

- (a) the hearing shall be in private, unless the Committee orders otherwise; and
- (b) the proceedings shall be recorded by a court reporter and any person may obtain, at his or her expense, a transcript of any part of the hearing which he or she was entitled to attend.

(4) If a Conduct Investigation Committee concludes that a member should be suspended under section 45(1) of the *Act*, the Committee shall promptly advise:

- (a) the member in writing that he or she is suspended and the reasons for it, and that the member has the right to request a review of the suspension under section 45(3) of the *Act*; and
- (b) the Deputy Minister of Justice under section 54(1) of the *Act*.

[Rule 420(1), 420(1)(b), (2), (3) and (3)(b) and (4) amended; (4)(a) and (b) added;  
 (5) and (6) deleted June 17, 2010]

### **Review of Interim Suspension**

421.(1) A notice under section 45(3) of the *Act* requesting a review of a suspension shall be in writing, addressed to the Chairperson of the Discipline Committee.

(2) A review hearing shall be conducted:

- (a) by one or more Benchers appointed as Review Committee by the Chairperson of the Discipline Committee, none of whom are under subrule (3), disqualified from hearing the review; and
- (b) as soon as practicable and in any event not later than 7 days after the date on which the request was received by the Chairperson of the Discipline Committee, unless the member consents to a longer time.

(3) The Chairperson of the Discipline Committee, and any other Bencher who was:

- (a) a member of the Conduct Investigation Committee which suspended the member under section 45(1) of the *Act*;
- (b) a member of a Conduct Review Committee which reviewed the matter; or
- (c) a member of a Complainants' Review Committee which reviewed the matter

shall not participate as a panelist in a review under this Rule.

(4) A review of the suspension under this Rule shall be conducted in private, unless the Review Committee orders otherwise.

(5) All proceedings at a review under this Rule shall be recorded by a court reporter and any person may obtain, at his or her expense, a transcript of any part of the hearing which he or she was entitled to attend.

(6) The Review Committee appointed under subsection 2(a) shall determine the practice and procedure to be followed at the hearing.

[Rule 421(2)(a), (3)(a), (4) (5) and (6) amended June 17, 2010]  
[Rule 421(3)(b) amended October 21, 2011]

[next rule is Rule 430]

### **Formal Complaint**

430. Where a Hearing Committee is appointed under Rule 403, a formal complaint shall be served on the member:

- (a) in accordance with section 46 of the *Act*;
- (b) not more than 90 days after the Chairperson of the Discipline Committee appointed the Hearing Committee; and
- (c) not less than 30 days before the date set for commencement of the hearing, unless the member consents in writing to a shorter period.

[Rule 430 amended September 15, 1995]  
[Rule 430(a) amended June 17, 2010]

### **Fixing a Date for Hearing**

431.(1) The date, time and place of the hearing shall be fixed by the Chairperson of the Hearing Committee.

(2) Counsel to the Conduct Investigation Committee shall notify the member and the complainant, in writing, of the date, time and place of the hearing.

[Rule 431(2) amended June 17, 2010]

### **Disclosure of Evidence to the Member**

432. (1) Counsel to the Conduct Investigation Committee shall fully disclose to the member the evidence which Counsel to the Conduct Investigation Committee intends to introduce at the hearing, and:

- (a) a copy of all relevant documents in the possession of the Society or under its control or power, except to the extent that the documents are privileged;
- (b) the names of all persons Counsel to the Investigation Committee intends to call as witnesses as well as copies of any written statements, or where no written statements exist, a summary of the witnesses' anticipated evidence.

(2) The Hearing Committee appointed to hear the formal complaint may, if it determines that Counsel to the Conduct Investigation Committee has not complied with subrule (1), extend the time for making full disclosure and make any other order it considers necessary for the effective conduct of the hearing.

(3) A member may, at any time before the hearing commences, apply for disclosure of the circumstances of the alleged misconduct.

(4) An application under subrule (3) shall be made:

- (a) to the Chairperson of the Hearing Committee which has been appointed to hear the formal complaint; and
- (b) in writing or, with the approval of the Chairperson of the Hearing Committee, in person or by telephone.

(5) The Chairperson of the Hearing Committee shall, if satisfied that an allegation in the formal complaint does not contain sufficient detail of the circumstances of the alleged unbecoming conduct to give the member reasonable information with respect to the act or omission to be proved, and to identify the transaction referred to, order Counsel to the Conduct Investigation Committee to disclose further details of the circumstances.

(6) Details of the circumstances disclosed under subrule (5) shall:

- (a) be in writing; and
- (b) be delivered to the member or his or her counsel.

[Rule 432(1), (a) & (b), (2), (4)(a) & (b) and (5) amended June 17, 2010]

[next rule is Rule 450]

## Hearing of the Formal Complaint

### Disqualification

450. (1) A Benchler who was a member of:

- (a) a Complainants' Review Committee which reviewed the matter;
- (b) a Professional Standards Committee or Practice Advisor which reviewed the matter or a Practice Advisor who conducted an investigation or review;
- (c) a Conduct Review Committee which reviewed the matter;
- (d) the Conduct Investigation Committee which inquired into the matter under section 44 of the *Act*, or suspended the member under section 46(1) of the *Act*; or
- (e) a Committee appointed under section 45(4) of the *Act* to review the member's interim suspension

shall not participate as a panelist in the hearing of a formal complaint against the member under this Rule.

### Adjournment

- (2) The Chairperson of the Hearing Committee may from time to time adjourn the hearing.

### Transcript

(3) All proceedings at a hearing shall be recorded by a court reporter and any person may obtain, at his or her expense, a transcript of any part of the hearing which he or she was entitled to attend.

### Multiple Allegations

(4) A Hearing Committee may consider at one hearing one or more formal complaints, each of which may contain one or more allegations.

(5) The Hearing Committee shall, where it is satisfied that the interests of justice so require, order that one or more allegations in a formal complaint be heard at a separate hearing before a differently constituted Hearing Committee.

### Amendment of the Formal Complaint

(6) A formal complaint may, subject to section 48 of the *Act*, be amended by the Hearing Committee appointed under Rule 403 to hear the complaint.

### Procedure

(7) The Hearing Committee shall determine the practice and procedure to be followed at the hearing.

(8) Counsel to the Conduct Investigation Committee and the member may deliver to the Chairperson of the Hearing Committee, at least 7 days before the date set for the hearing, written submissions and supporting documentation respecting the issues to be considered by the Hearing Committee.

(9) Counsel to the Conduct Investigation Committee shall ensure delivery to the member and to every member of the Hearing Committee, a copy of the formal complaint against the member, as amended.

### Hearing Committee Decision

(10) The Hearing Committee shall, following completion of the evidence and submissions from counsel for the Society and the member, by majority decision:

- (a) make its findings as to the facts in issue;
- (b) make its decision as to whether each allegation in the formal complaint is well-founded;

- (c) determine whether the member may be guilty of a criminal offence related to his or her practice, in which case section 54(2) of the *Act* applies.

### **Imposition of Penalty by Hearing Committee**

(11) Following the decision of the Hearing Committee, if the Hearing Committee finds that the formal complaint is well founded it:

- (a) may consider any relevant information respecting the member's professional conduct history;
- (b) shall invite Counsel to the Conduct Investigation Committee and the member to make submissions as to penalty; and
- (c) shall, by majority decision, make one or more orders under section 53 of the *Act*;
- (d) shall, if it imposes a fine, fix the date by which payment to the Society shall be completed;
- (e) shall, if it imposes costs, fix the date by which payment to the Society shall be completed; and
- (f) shall, if it imposes a requirement, fix the date by which the requirement shall be fulfilled.

### **Extension of Time to Comply**

(12) A member who has not:

- (a) paid the full amount owing for a fine imposed under section 53 of the *Act* by the date fixed; or
- (b) paid the full amount owing for costs imposed under section 53 of the *Act* by the date fixed; or
- (c) fulfilled all requirements imposed under section 53 of the *Act* by the date fixed;

may apply to the Chairperson of the Discipline Committee for an extension of the time within which to comply.

[Rule 450(1)(b) amended September 17, 1993]

[Rule 450(1)(b), (d), and (e), (3), (6), (8) changed to (10) - (c) amended and (d) deleted, Assessment of Penalty by Hearing Committee and Report to Chairperson of Discipline Committee deleted; Procedure - (8) and (9) added, (11) and (12) added June 17, 2010]

[Rule 450(1)(c) amended October 21, 2011]

[Rule 470(5)(b) amended September 17, 1993]

[Rule 470 Assessment of Penalty by Discipline Committee deleted in its entirety June 17, 2010]

[next rule is Rule 490]

### **Costs**

490. (1) In calculating the costs payable under section 53(3)(a)(v) of the *Act*, a Hearing Committee may include part or all of one or more of the following costs actually incurred by the Society:

- (a) the cost of any enquiries or investigations ordered under this Part;
- (b) the daily witness fee fixed by the tariff enacted pursuant to *The Queen's Bench Rules*, multiplied by the number of days the witness was required to remain in attendance at a hearing or meeting under this Part;
- (c) reasonable travel and living costs of a witness;
- (d) the court reporter's fee for attendance at a hearing or meeting under this Part;
- (e) the cost of a transcript of a hearing or meeting held under this Part, if the Society would otherwise be liable for its cost;
- (f) the cost incurred by the Society in publishing the decision of a Committee under this Part;
- (g) a Hearing Committee attendance fee of:
  - (i) \$150 per half day of hearing for the first three days of hearings; plus
  - (ii) \$500 per half day of hearing for each subsequent day of hearing multiplied by the number of Hearing Committee members in attendance;

- (h) reasonable fees or costs of Counsel to the Conduct Investigation Committee;
- (i) reasonable disbursements of Counsel to the Conduct Investigation Committee; and
- (j) any other amount, arising out of the proceedings, for which the Society would otherwise be liable.

[Rule 490(1), (b), (d), (h) and (i) amended June 17, 2010]

491. (1) Members of the public may attend and observe a hearing before a Hearing Committee pursuant to Rule 470 except to the extent that the hearing is directed to be held in private under subrule (2).

(2) The Hearing Committee on its own motion or on the application of the member concerned, the complainant, any person expected to be a witness at the hearing, or any other interested party at the time before or during the proceeding may direct that all or part of the hearing is to be held in private in accordance with subsection 49(6) and 84.1 of the *Act*.

(3) Other than hearings referred to in subrule (1) and hearings before the Court of Appeal and required attendances of the complainant pursuant to section 49 of the *Act*, all discipline proceedings shall be held in private.

(4) These rules will apply to all discipline matters concerning which a formal complaint is signed by the Law Society on or following the day on which sections 13-33 of *The Legal Profession Amendment Act, 2010* comes into force.

[Rule 491 added September 16, 1994]

[Rule 491(1) through (4) amended June 17, 2010]

[next rule is Rule 495]

### **Notice of Disciplinary Action**

495. (1) Where an order is made under Rules 400(4), 420 or 450 against a member, the Executive Director shall:

- (a) publish and circulate to the membership a summary of the circumstances and the order made, in a form which identifies the member; and
- (b) notify in writing each governing body of the legal profession in which the Director has been notified that the member is a member.

(2) Where a member is suspended or disbarred under Rules 420 or 450, or permitted to resign under Rule 400(4), the Society:

- (a) shall notify in writing:
  - (i) the Chief Justice of Saskatchewan;
  - (i) the Chief Justice of the Saskatchewan Court of Queen's Bench;
  - (ii) the Chief Judge of the Provincial Court of Saskatchewan;
- (b) may notify in writing:
  - (i) the Minister of Justice for Saskatchewan; and
  - (ii) the Registrar of Titles; and
  - (iii) any other person the Executive Director considers appropriate;
- (c) shall cause to be published a notice of the suspension or disbarment or resignation in the face of discipline as well as any related decision or order of the Conduct Investigation Committee in any or all of the following:
  - (i) a newspaper of general circulation in each community in which the member maintained an office;
  - (ii) the Law Society of Saskatchewan website;
  - (iii) CanLII or any other decision publishing entity approved by the Benchers;



(d) may cause to be published any order or decision of a Hearing Committee in accordance with sub (c);

(3) Where a Hearing Committee finds a formal complaint is not well founded, a summary of the circumstances may be published and circulated to the membership, but the summary shall not, unless the member requests in writing, identify the member.

(4) Where part of a hearing is ordered private pursuant to Rule 491, the Hearing Committee decision shall be published, but those portions of the hearing which were ordered private shall be redacted.

[Rule 495(4) added September 9, 1999; Rule 495(1) and (2) amended October, 2003]

[Rule 495 (1), (2) & (2)(a) amended, (2)(b) (i) through (iii) added, (2)(c) amended and (2)(c)(iii) added, (3) amended; (4) deleted June 17, 2010]

[Rule 495(1) amended October 21, 2010]

[Rule 495(1) and 495(1)(b) amended; 495(2)(c) and (i) – (iii) amended; 495(2)(d) and (4) added April 14, 2011]

### **Retention of Documents**

496. The Society shall not dispose of or destroy any document within its possession or power relating to a proceeding under this Part until the later of:

- (a) the time for commencing a judicial review or an appeal from a decision under this Part has expired, and no such review or appeal has been commenced; or
- (b) all proceedings by way of judicial review or appeal from a decision under this Part have been completed.

### **Appeal to Court of Appeal**

497. The Conduct Investigation Committee may direct Counsel for the Conduct Investigation Committee to proceed with an appeal under section 56 of the *Act* within 30 days of the day of the decision of the Hearing Committee by filing notice with the Court of Appeal, as set out in section 56 of the *Act*.

[Rule 497 added June 17, 2010]

[Part 9 – Mediation Rules 570 - 573 deleted in their entirety June 24, 2011]

[next rule is Rule 600]

## PART 10

### Insurance

#### Definitions

600. In this Part,

“**Committee**” means the SLIA board of directors;

“**insurer**” includes SLIA and any other company providing liability insurance to members under the Society’s compulsory liability insurance program;

“**law firm**” includes a sole practitioner, a partnership and 2 or more sole practitioners holding themselves out to the public as practicing in partnership or in association;

“**resident**” has the meaning respecting a province or territory that it has with respect to Canada in the *Income Tax Act* (Canada);

“**SLIA**” means the Saskatchewan Lawyers’ Insurance Association Inc.

[Rule 600 “Committee” amended December 7, 2007]

[Rule 600 “non-resident member” deleted and replaced with “resident” October 21, 2011]

#### Former Liability Insurance Program

601. (1) The Committee may, with respect to insurance claims made prior to September 1, 1988:

- (a) administer the former program; and
- (b) approve payments from the Insurance Fund maintained under Rule 134 of the former Rules for administration of the program, including payment of expenses which are necessary or incidental to the administration of the liability insurance program.

(2) The Benchers may, if the Insurance Fund is insufficient to make all payments authorized under subrule (1), do one or both of the following:

- (a) transfer funds from the Society’s General Fund to the Insurance Fund;
- (b) make a special assessment of members.

[next rule is Rule 605]

#### Saskatchewan Lawyers’ Insurance Association Inc.

605. (1) Unless exempted under subrule (4), each member shall in each year by the date set in Rule 810(1) pay to SLIA a liability insurance assessment in the amount fixed by the Benchers.

(2) Unless exempted under subrule (4), each member shall by the date set in Rule 810(1) pay to SLIA any additional or retroactive assessment levied by the Benchers under section 11(4) of the *Act*.

(3) Each law firm which is insured under the SLIA excess insurance policy shall:

- (a) by June 30 in each year pay to SLIA the excess insurance levy as set by the Benchers; and
- (b) by the date fixed by the Benchers, pay to SLIA any additional or retroactive assessment levied by the Benchers under section 11(4) of the *Act*.

(4) The following members are exempt from payment of the annual assessment under subrule (1) and any special assessments under subrule (2):

- (a) students-at-law;
- (b) members employed by or on an exclusive contract with the Saskatchewan Department of Justice as full-time prosecutors;
- (c) members employed by the Federal Department of Justice;
- (d) members not resident in Saskatchewan and Canadian Legal Advisors who comply with subrule (5);
- (e) inactive members;
- (f) retired members; and
- (g) other members as approved by the Benchers.

(5) To qualify for exemptions under subrule (4), a member not resident in Saskatchewan shall provide evidence to the Society, by the dates fixed in Rule 810(1), that the member maintains professional liability insurance:

- (a) in a form and amount which is reasonably comparable with that maintained by the Society in its compulsory program; and
  - (b) which specifically extends to services rendered by the member in Saskatchewan.
- (6) A member who has not paid:
- (a) the annual assessment under subrule (1) by the date fixed in subrule (1) or extended under subrule (8); and
  - (b) any special assessment levied by the Benchers under subrule (2) by the date fixed by the Benchers or extended under subrule (8)

and who is not exempted from payment under subrule (4), shall not engage in the practice of law until the assessment is paid.

(7) Where the Society or SLIA has paid an individual insurance deductible amount on behalf of a member in respect of a claim against the member, and the member, by the date the annual assessment under subrule (1) is payable or by the date extended under subrule (8):

- (a) has not fully reimbursed the Society or SLIA; or
- (b) has breached an agreement made between the Committee and the member respecting the member's reimbursement of the Society or SLIA.

the member shall not, from that date, engage in the practice of law until the Society or SLIA has been fully reimbursed for the amount of the deductible.

(8) The Chairperson of the Committee may at any time extend the time for a member:

- (a) to pay an assessment under subrule (1) or (2); or
- (b) to reimburse the Society or SLIA for a deductible paid on the member's behalf under subrule (7)

and where an extension of time is granted and the member pays:

- (c) the full amount of the assessment or the deductible owing by the date to which the time is extended; and
- (d) interest on that amount from the date upon which it was due upon which it is paid calculated the prime lending rate of the Bank of Montreal plus two percent per annum

the member shall be deemed to be insured during the period of time when the assessment or deductible was unpaid.

(9) The Society shall promptly, in the case of a member who has not, when due, paid an assessment under subrule (1) or (2) or reimbursed a deductible under subrule (7):

- (a) notify the member in writing that he or she shall not engage in the practice of law until the amount owing is paid in full;
- (b) notify in writing:
  - (i) the Chief Justice of Saskatchewan;
  - (ii) the Chief Justice of the Saskatchewan Court of Queen's Bench;
  - (iii) the Chief Judge of the Provincial Court of Saskatchewan;
  - (iv) the Minister of Justice for Saskatchewan; and
  - (v) the Registrar of Titles; and
- (c) cause a notice to be published in:
  - (vi) the *Saskatchewan Gazette*; and
  - (vii) a newspaper of general circulation in each community in which the member maintained an office.

(10) A member who is an insured under a professional liability insurance policy shall report to, co-operate with and assist the insurer as required by the policy.

(11) A member who fails to comply with subrule (10) is, in addition to the other consequences flowing from the failure to comply, liable to disciplinary action for conduct unbecoming.

[Rule 605(8)(d) amended February 4 & 5, 1993]

[Rule 605A added December 8, 1994]

[Rule 605(4) amended April 23, 1998]

[Rule 605A amended October 24, 1997 and May, 2001]

[Rule 605(4) (g) added May 31, 2007]

[Rule 605A(1) b amended September 27, 2007]

[Rule 605A(2) (a) and (b) amended September 17, 2009]  
[Rule 605(4)(d) amended September 9, 2010]  
[Rule 605(2), (4)(d), (5), and (9)(b)(v) amended October 21, 2011]

[Rule 605(A) 1 – 4 deleted June 24, 2011]

**Condition of Practice**

606. Unless exempted by these Rules, payment of all insurance premiums, surcharges and deductibles is a condition of the practice of law in Saskatchewan.

[Rule 606 added April 15, 1994]

[next rule is Rule 700]

## PART 11

### Special Fund

#### Annual Assessment

700. Every member shall, in each year by the date set in Rule 800(1), pay to the Society an annual assessment for the Special Fund in the amount fixed by the Benchers.

#### Special Assessments

701. (1) The Benchers may, where they determine that there are insufficient funds in the Special Fund to pay the expenses authorized under Rule 703 or to reimburse claimants under Rule 708, make a special assessment on members of the Society.

(2) Every member shall, by the date fixed by the Benchers, pay a special assessment fixed by the Benchers under subrule (1).

#### Investment of Fund and Proceeds

702. (1) Funds received by the Society under Rules 700 and 701 shall be deposited into the Special Fund account maintained by the Society under section 12(5) of the *Act*.

(2) The Society may invest the Special Fund and its proceeds in any securities authorized under subsection 3(5) of the *Act*.

[Rule 702(2) amended December 7, 2007]

#### Payment of Expenses

703. The Executive Director may authorize payment out of the Special Fund for expenses incurred:

- (a) in administering the Special Fund;
- (b) in investigating claims against the Special Fund, including the audit of the books, records and accounts of a member or former member;
- (c) arising out of the appointment of a trustee under section 61 of the *Act*;
- (d) in improving members' records and accounting procedures; and
- (e) in any other matter relating to the protection and maintenance of the Special Fund.

[Rule 703 amended December 7, 2007]

#### Application for Compensation

704. (1) An application for compensation from the Special Fund shall be made in writing, addressed to the Executive Director.

(2) The Executive Director shall, upon receipt of an application under subrule (1), appoint a Claims Investigation Committee consisting of one or more members of the Society to investigate the claim.

[Rule 704(1) and (2) amended December 7, 2007]

#### Procedure for Investigation

705. (1) A Claims Investigation Committee may:

- (a) make such inquiries of the claimant, the member or former member in respect of whom the claim is made and any other person as it considers desirable;
  - (b) require the claimant to provide the Claims Investigation Committee with information and documents relating to the claim, which the Committee reasonably requires;
  - (c) in its discretion, order an oral hearing under Rule 706; and
  - (d) notify the public of the date by which all applications for compensation from the Special Fund respecting claims against a specified member or former member must be made.
- (2) A Claims Investigation Committee may postpone its investigation of a claim pending:
- (a) final disposition of any disciplinary action, including judicial review or an appeal, taken against or by the member or former member in respect of whom the claim is made;

- (b) final disposition of any criminal prosecution, including appeal, taken against or by the member or former member in respect of whom the claim is made; or
- (c) the claimant obtaining, and assigning to the Society, part or all of a civil judgment or *Criminal Code* compensation order made against the member or former member respecting the money or other property claimed by the claimant.

### Hearing

706. (1) Where, as part of an investigation under Rule 705, a Claims Investigation Committee orders an oral hearing, the Committee shall, subject to the *Act* and these Rules, determine the practice and procedure to be followed at the hearing.

### Recommendation to Benchers

707. (1) A Claims Investigation Committee shall, following completion of its investigation, make a report to the Benchers.

### Action by Benchers

708. (1) The Benchers shall not, in respect of all claims arising out of the misappropriation or conversion by one member or former member, pay out of the Special Fund more than \$250,000.

- (2) Upon receipt of a report under Rule 707, the Benchers may:
  - (a) hear the claimant and any evidence that they may, in their discretion, permit; and
  - (b) where they are satisfied that the claimant has suffered a pecuniary loss as a result of a member's misappropriation or conversion of moneys or other property entrusted to or received by the member in the member's professional capacity, in their discretion and on terms they think fit:
    - (i) subject to subrule (1), pay money out of the Special Fund to reimburse the claimant entitled for all or part of the loss; or
    - (ii) determine that no payment shall be made.

708.1 (1) Where a claimant is not satisfied with a decision of the Benchers made pursuant to Rule 708, and where such complainant gives notice to the Executive Director, in writing, that he or she wishes to provide new or additional evidence in support of his or her claim, and where the Chair of Discipline is satisfied that such new or additional evidence may result in a different ruling by the Benchers, the Chair of Discipline may:

- (a) direct that the Claims Investigation Committee shall reconsider the matter and provide a new report pursuant to Rule 707; or
  - (b) appoint a new Claims Investigation Committee to consider the matter.
- (2) A new Claims Investigation Committee appointed pursuant to subrule (1)(b) shall proceed according to Rules 705 through 707.
- (3) No application for reconsideration under this Rule shall be considered unless received by the Executive Director within ninety (90) days of the decision of the Benchers pursuant to Rule 708(2).

[Rule 708.1 added March 15, 2007]

### Recovery of Payment Made

709. (1) Where money is paid out of the Special Fund under Rule 703(b) or Rule 708(2), the Executive Director or the Benchers as the case may be:

- (a) order that the member, on account of whose misappropriation or conversion the money is paid out, repay to the Society all or part of that amount; and
  - (b) fix the date by which the repayment shall be completed.
- (2) A member who has not paid the full amount owing under subrule (1) by the date fixed under subrule (1) is, unless the Benchers resolve otherwise, suspended from the practice of law until the amount owing is paid in full to the Society.

[Rule 709(1) amended; (2) deleted, renumbered and amended December 7, 2007]

[next rule is Rule 800]

## PART 12

### Law Society Fees and Assessments

#### Active Member Annual Fee

800. (1) The active member annual fee for each calendar year, as set out in Schedule 1 following this Part and consisting of:

- (a) the practice fee;
- (b) the library fee;
- (c) the continuing legal education seminar pre-registration fee;
- (d) the Special Fund assessment; and
- (e) the applicable federal and provincial taxes payable thereon

is subject to subrule (3) payable by the preceding December 1.

(A) The active member annual fee for each calendar year for members whose principal place of practice or employment is in the City of Lloydminster and consisting of:

- (i) ½ the practice fee;
- (ii) ½ the continuing legal education seminar pre-registration fee;
- (iii) ½ the Special Fund assessment;
- (iv) the Library fee; and
- (v) the applicable federal and provincial taxes payable thereon

is subject to subrule (3) payable by the preceding December 1.

(2) A member who does not pay the active member annual fee by December 1, but who does pay it by December 31 shall pay, in addition, a late payment fee as set out in Schedule 1 following this Part.

(3) A member may, upon the approval from the Executive Director, pay the active member annual fee on a quarterly basis, payable in four equal instalments commencing on the preceding December 1 and continuing on March 1, June 1 and September 1.

(4) A member who is approved to make quarterly payments shall pay, in addition, an administration fee as set out in Schedule 1 following this Part by the preceding December 1.

(5) Quarterly payments shall be made only by way of pre-authorized automatic debit.

[Rule amended February 5, 2001]

[Rule 1(A) added October, 2002]

#### Inactive Member Fee

801. The inactive member annual fee in respect of each year, as set out in Schedule 1 following this Part, is payable by the preceding December 31.

[next rule is Rule 810]

#### Liability Insurance Assessment and Fee

810. (1) The liability insurance annual assessment payable under Rule 605, as set out in Schedule 1 following this Part, is payable by June 15.

(2) A member who does not pay the liability insurance assessment by June 15, but does pay it by June 30 shall pay, in addition, a late payment fee as set out in Schedule 1 following this Part.

(3) The late payment fee for a member who does not reimburse the Society or SLIA by the due date for an insurance deductible paid on the member's behalf under Rule 605, is as set out in Schedule 1 following this Part.

[next rule is Rule 820]

#### Student-at-Law Fees

820. (1) The student-at-law application fee payable under Rule 150(i) is as set out in Schedule 1 following this Part.

(2) The student-at-law articling fee payable under Rule 156(2)(c) is as set out in Schedule 1 following this Part.

(3) The student-at-law articling assignment fee payable under Rule 158(2)(b) is as set out in Schedule 1 following this Part.

(4) The fee for the Bar Admission Program payable under Rule 159(2)(c)(ii) is as set out in Schedule 1 following this Part.

[Rule 820(4) and 820(5) amended June 8, 1994]

[Rule 820(4) amended December, 2003]

[Rule 820(4) and (5) amended February 4, 2004]

[next rule is Rule 830]

### **Admission as a Lawyer Fees**

830. (1) The lawyer admission application fee payable under Rule 171(1)(d)(iv) is as set out in Schedule 1 following this Part.

(2) The lawyer admission fee payable under Rule 181(1)(a)(iv) is as set out in Schedule 1 following this Part.

(3) The admission on transfer application fee payable under Rule 171(2)(g) or on transfer as a Canadian Legal Advisor under Rule 260 is as set out in Schedule 1 following this Part.

(4) The admission on transfer fee payable under Rule 181(1)(a)(iv) is as set out in Schedule 1 following this Part.

(5) The law professor (transfer) admission application fee payable under Rule 172(1)(e)(ii) is as set out in Schedule 1 following this Part.

(6) The law professor (transfer) admission fee payable under Rule 181(1)(a)(iv) is as set out in Schedule 1 following this Part.

(7) The law professor admission application fee payable under Rule 172(2)(d)(ii) is as set out in Schedule 1 following this Part.

(8) The law professor admission fee payable under Rule 181(1)(a)(iv) is as set out in Schedule 1 following this Part.

(9) A person who is admitted as a lawyer shall pay, in addition to the fees payable under subrule (1) to (8):

(a) one-twelfth of the liability insurance assessment payable under Rule 605, times the number of months remaining in the policy year, including the month that the person is admitted as a lawyer; and

(b) one-twelfth of the annual fee payable under Rule 800 times the number of months remaining in the year, including the month that the person is admitted as a lawyer.

[Rule 830(9)(b) amended April 14, 1994]

[Rule 830(3) amended September 9, 2010]

[next rule is Rule 840]

### **Interjurisdictional Practice Permit**

840. The interjurisdictional practice permit payable under Rule 196 is as set out in Schedule 1 following this Part.

[Rule 840 amended December 5, 2008]

[Rule 840 amended February 13, 2009]

[next rule is Rule 850]

### **Reinstatement Fees**

850. (1) The reinstatement fee payable by a former member who is applying for reinstatement after having been disbarred is as set out in Schedule 1 following this Part.

(2) The reinstatement fee payable by a former member who is applying for reinstatement for any reason other than disbarment is as set out in Schedule 1 following this Part.



(3) The reinstatement fee payable by an inactive member who is applying for reinstatement as an active member is as set out in Schedule 1 following this Part.

(4) The reinstatement fee payable by a suspended or disqualified member who is applying for reinstatement as an active or inactive member is as set out in Schedule 1 following this Part.

(5) A member who is reinstated as an active member shall pay, in addition to the fees payable under subrule (1) to (3):

(a) one-twelfth of the liability insurance assessment payable under Rule 605, times the number of months remaining in the policy year, including the month that the person is reinstated; and

(b) one-twelfth of the annual fee payable under Rule 800 times the number of months remaining in the year, including the month that the person is admitted as a lawyer.

(6) A member who is reinstated as an inactive member shall pay, in addition to the fees payable under subrule (1) to (3), the annual inactive member fee as set out in Schedule 1 following this Part.

[Rule 850(4) amended April 14, 1994; Rule 850(5) added April 14, 1994]

[Rule 850 amended April 18, 1996]

[next rule is Rule 860]

### **Certificate of Standing Fee**

860. The fee payable for issuance of a certificate of standing is as set out in Schedule 1 following this Part.

[next rule is Rule 870]

### **License and Permit Fees**

870. (1) The fee payable by an applicant under Rule 220(2)(b) for a permit to become a foreign legal consultant is as set out in Schedule 1 following this Part.

(2) The renewal fee payable by a foreign legal consultant under Rule 220(11)(c) is as set out in Schedule 1 following this Part.

[next rule is Rule 871]

### **Minimum Mandatory Education Fees**

871. (1) The fees payable by an applicant for approval of a remedial education plan are as set out in Schedule 1 following this part.

(2) The fees payable for an appeal of decisions authorized in the policy shall be as set out in Schedule 1 following this part.

(3) The reinstatement fee payable by a member suspended for failing to comply with minimum mandatory education requirements shall be as set out in Schedule 1 following this part.

[Rule 871 added May 1, 2009]

[next rule is Rule 880]

### **Refund of Fees**

880. (1) The Society shall, in the case of an active member who dies during the current year, refund one-twelfth of the current year's active member annual fee times the number of months remaining in the calendar year excluding the month that the member dies.

(2) The Society shall, upon being satisfied that an active member has during the current year become an inactive member for the purpose of parenting a newly born or newly adopted child refund one-twelfth of the current year's active member annual fee times the number of months remaining in the calendar year excluding the month that the member becomes an inactive member.

[Rule 880(1) amended April 14, 1994; Rule 880(2) amended December 10, 1992]

[next rule is Rule 890]

**Waiver of Rules**

890. A member shall pay, at the time of application for a variation, waiver or suspension of a Rule under Rule 1903, a rules waiver application fee as set out in Schedule 1 following this Part.

[next rule is Rule 900]

**Schedule 1**  
**LAW SOCIETY FEES AND ASSESSMENTS**

<b>A. Active Member Annual Fee</b>	<b>\$</b>
1. Practice fee	1,615
2. Special Fund assessment (included in Practice fee)	160
3. Late payment fee	75/wk or part thereof
4. Electronic payment fee	100
<b>B. Inactive Member Fees</b>	
1. Inactive member annual fee	150
<b>C. Liability Insurance Assessment</b>	
1. Annual Assessment	825
2. Late payment fee	75/wk or part thereof
3. Insurance deductible reimbursement late payment fee	100
<b>D. Student-at-Law Fees</b>	
1. Student-at-law application fee	100
2. Articling fee	100
3. Articling assignment fee	100
4. Bar Admission Program fee	2,450
5. Bar Examination re-read fee, per examination	50
6. Transfer examination fee	350
7. Transfer examination re-read fee	175
8. Transfer supplemental examination	175
<b>E. Admission as a Lawyer Fees</b>	
1. Lawyer admission application fee	100
2. Lawyer admission fee	100
3. Admission on transfer application fee	100
4. Admission on transfer fee (with articles)	100
5. Admission on transfer fee (no articles)	500
6. Law professor (transfer) admission application fee	100
7. Law professor (transfer) admission fee	100
8. Law professor admission application fee	100
9. Law professor admission fee	100
<b>F. Interjurisdictional Practice Permit</b>	
1. Interjurisdictional Practice Permit	100
<b>G. Reinstatement Fees</b>	
1. By former member, following disbarment or resignation	1,000
2. By former member, in all other cases	200
3. By inactive member becoming active member	100
4. By disqualified member becoming an active or inactive member	100 plus fee for year of default
<b>H. Certificate of Standing Fee</b>	100
<b>I. License and Permit Fees</b>	
1. Foreign legal consultant permit fee	500
2. Foreign legal consultant renewal fee	100
<b>J. Waiver of Rules</b>	
1. First application	50
2. Each subsequent application respecting the same Rule	100
<b>K. Professional Corporation</b>	
1. Application for registration of Professional Corporation	125
2. Application for registration of Limited Liability Partnership	125
3. Annual renewal for Professional Corporation	125

**L. Minimum Mandatory Legal Education**

1. Approval of remedial education plan .....	200
2. Appeal of decisions .....	100
3. Reinstatement fee payable by member suspended for failing to comply with minimum mandatory education requirements .....	100

**Note:** The federal goods and services tax applies to Law Society fees and assessments

[Part K added September, 2001]  
[Part D(4) amended February 5, 2004]  
[Part C 4. added Oct., 2007]; [Amended Dec. 7, 2007]  
[Part F amended December 5, 2008]  
[Part D(4) amended May 1, 2009]  
[Part A(3), C(1) and (2) amended; Part L added September 17, 2009]  
[Part K (1), (2) and (3) amended February 11, 2010]  
[Part D (4) amended April 15, 2010]  
[Part A (1) and C (1) amended June 17, 2010]  
[Part C(1) amended; C(4) deleted April 14, 2011]  
[Part A(2) amended October 21, 2011]

## PART 13

### Accounting

#### A. Definitions

##### Definitions

900. In this Part,

“**cash**” means coins referred to in section 7 of the *Currency Act*, and notes issued by the Bank of Canada pursuant to the *Bank of Canada Act*, that are intended for circulation in Canada and coins or bank notes of countries other than Canada;

“**client**” includes a person or unincorporated body on whose behalf a member receives funds in connection with the member’s practice of law;

“**currency**” includes current coins, government or bank notes of Canada or any other country;

“**firm**” means a partnership of members carrying on the practice of law where one set of the books, records and accounts described in this Part is maintained;

“**funds**” means cash, currency, securities and negotiable instruments or other financial instruments or other financial instruments that indicate the person’s title or interest in them;

“**general account**” means an account in a savings institution maintained by a member into which is deposited funds received by the member in connection with the member’s practice of law, which are not trust funds;

“**member**” includes a member of the Law Society as defined in *The Legal Profession Act*;

“**mixed trust account**” means an account referred to in section 78(1) of the *Act*, into which is deposited money received or held in trust for or on account of clients generally;

“**money**” includes cash, cheques, drafts, credit card sales slips, post office orders and express and bank money orders;

“**public body**” means:

- (a) a department or agent of Her Majesty in right of Canada or of a province;
- (b) an incorporated city, town, village, metropolitan authority, township, district, county, rural municipality or other incorporated municipal body or an agent of any of them, or
- (c) an organization that operates a public hospital and that is designated by the Minister of National Revenue as a hospital under the *Excise Tax Act* or an agent of the organization,

“**savings institution**” means:

- (a) the Bank of Canada;
- (b) a bank included in Schedule I or II to the *Bank Act* (Canada) which is insured by the Canada Deposit Insurance Corporation;
- (c) a credit union incorporated, continued or registered under the *Credit Union Act, 1985*; or
- (d) a trust company which:
  - (i) is incorporated under the *Trust Companies Act* (Canada); or
  - (ii) has net assets in excess of \$10,000,000;

“**separate trust account**” means an interest-bearing trust account or a savings, deposit, investment or similar form of account in a savings institution in Saskatchewan;

“**trust funds**” means any monies received by a lawyer, in his/her capacity as a lawyer, which are not intended to immediately become property of the lawyer and include:

- (a) funds from a client for services to be performed or for disbursements to be made on behalf of the client; or
- (b) funds which belong in part to a client and in part to the member, and it is not practicable to split the funds;
- (c) funds received from or held on behalf of a third party which relate to a transaction in which a client is involved, but does not include funds which are to be remitted to any government by way of taxes or employee payroll deductions.

[Rule 900(d) in *Trust Funds* deleted October, 2001]  
 [Rule 900 amended May, 2002 and October, 2002]  
 [Rule 900 amended February 10, 2005 and June, 2005]  
 [Rule 900, definition "cash" amended June 11, 2009]

## B. Delegation and Accountability

### Member Remains Personally Responsible

901. (1) A member who:

- (a) is authorized by the sole proprietorship, partnership or association through which the member practises law to open, maintain or deal with funds which are in a trust or general account; and
- (b) delegates to another person any of the duties or responsibilities assigned to that member under this Part

remains personally responsible to ensure that those duties and responsibilities are carried out.

(2) A firm of members, an association of members or a professional corporation may maintain a trust or general account in the name of the firm, association or professional corporation, however, the individual members practicing through the firm, association or professional corporation remain personally responsible to ensure compliance with these Rules.

(3) At least one signatory of any cheque drawn on a trust account must be a member.

[next rule is Rule 909]

## C. Receipt of Trust Funds

### Cash Transactions

909. (1) A member shall not receive or accept from a person, cash in an aggregate amount of \$7,500 or more Canadian dollars in respect of any one client matter or transaction.

(2) For the purposes of this Rule, when a member receives or accepts cash in a foreign currency from a person the member shall be deemed to have received or accepted the cash converted into Canadian dollars at:

- (a) the official conversion rate of the Bank of Canada for the foreign currency as published in the Bank of Canada's Daily Noon Rates that is in effect at the time the member receives or accepts the cash, or
- (b) if the day on which the member receives or accepts cash is a holiday, the official conversion rate of the Bank of Canada in effect on the most recent business day preceding the day on which the member receives or accepts the cash.

(3) Paragraph 1 applies when a member engages on behalf of a client or gives instructions on behalf of a client in respect of the following activities:

- (a) receiving or paying funds;
- (b) purchasing or selling securities, real properties or business assets or entities;
- (c) transferring funds by any means.

(4) Despite paragraph 3, paragraph 1 does not apply when the member receives cash

- (a) from a financial institution or public body;
- (b) from a peace officer, law enforcement agency or other agent of the Crown acting in his or her official capacity;
- (c) pursuant to a court order, or to pay a fine or penalty, or
- (d) in an amount of \$7,500 or more for professional fees, disbursements, expenses or bail, provided that any refund of \$1,000 or more out of such receipts is also made in cash. Every member who pays a cash refund pursuant to subrule 909. (4)(d) must obtain a signed acknowledgement of the payment from the person receiving the refund showing the date, amount, client reference and name of the person who received the funds.

(5) Every member, in addition to existing financial recordkeeping requirements to record all money and other property received and disbursed in connection with the member's practice, shall maintain:

- (a) a book of original entry identifying the method by which money is received in trust for a client, and
  - (b) a book of original entry showing the method by which money, other than money received in trust for a client, is received.
- (6) Every member who receives cash in excess of \$500 for a client shall maintain, in addition to existing financial recordkeeping requirements, a book of duplicate receipts, with each receipt identifying the date on which cash is received, the person from whom cash is received, the amount of cash received, the client for whom cash is received, any file number in respect of which cash is received and containing the signature authorized by the member who receives cash and of the person from whom cash is received.
- (7) The financial records described in paragraphs 5 and 6 may be entered and posted by hand or by mechanical or electronic means, but if the records are entered and posted by hand, they shall be entered and posted in ink.
- (8) The financial records described in paragraphs 5 and 6 shall be entered and posted so as to be current at all times.
- (9) A member shall keep the financial records described in paragraphs 5 and 6 for at least the six year period immediately preceding the member's most recent fiscal year end.

[Rule 909 added February 10<sup>th</sup>, 2005]  
 [Rule 909 amended June, 2005; December, 2005]  
 [Rule 909 (4)(d) and (6) amended June 11, 2009]

[next rule is Rule 910]

### **Deposit of Trust Funds**

910. (1) Subject to subrule (2), a member who receives trust funds shall forthwith deposit the funds into a mixed trust account described in Rule 911.

- (2) (a) A member who receives trust funds with written instructions as to where they are to be placed shall first place the funds into a mixed trust account and then place the funds in accordance with appropriate instructions, but a member may not hold or invest monies on behalf of a client outside the Province of Saskatchewan unless the member's primary practice is outside of Saskatchewan, and the trust funds are handled in accordance with the Rules of the Law Society of the member's primary practice, and the monies are received pursuant to that practice.
  - (b) Subsection (a) does not prevent a member from forwarding monies pursuant to a client's written instructions or obligations in furtherance of a specific transaction, where such monies are thereafter no longer held in trust on behalf of the client.
- (3) Law firms may receive trust and general receipts by credit or debit cards subject to the following conditions:
- (a) trust receipts shall be deposited expeditiously and directly into a pooled trust account;
  - (b) general receipts shall be deposited expeditiously and directly into a general account;
  - (c) the payor, client name, and file number shall be recorded on the merchant slip;
  - (d) the word "Trust" shall be recorded on the merchant slip for all trust receipts;
  - (e) the receipt shall be recorded in the deposit book and the merchant slip shall be attached to the deposit slip in the deposit book.

All service charges and discounts, including those related to trust receipts, are the responsibility of the member and shall be withdrawn from the law firm general account.

(4) A member who receives trust funds which belong in part to a client and in part to a member shall:

- (a) deposit them into a mixed trust account; and
  - (b) as soon as it is practicable to split the funds, withdraw the member's funds from the trust account.
- (5) A member or law firm shall be permitted to handle their own legal transactions through trust as long as the money is handled in the normal course of a legal file and the money is paid out expeditiously when the matter is concluded.

(6) Active members whose primary practice is outside Saskatchewan are not required to hold trust monies in Saskatchewan, however, must comply with the trust account rules in the jurisdiction in which they practice.

(7) In this Rule:

- (a) the cities of Lloydminster, Alberta, and Flin Flon, Manitoba, are deemed to be in Saskatchewan and the deposit of trust monies in a savings institution located in those two cities is deemed compliance with Rule 911 and Rule 912;
- (b) Alberta or Manitoba credit unions located in Lloydminster, Alberta or Flin Flon, Manitoba, which are incorporated, continued or registered under the Alberta or Manitoba equivalent to *The Credit Union Act (1985)* are deemed to be savings institutions.

[Rule 910 amended June 8, 1994]

[Rule 910(3) added June, 2004]

[Rule 910 (1), (2)(a), (3) and 4(a) amended; (5) added; (6) and (7) amended to reflect numbering change June 11, 2009]

### **Mixed Trust Account**

911. (1) A mixed trust account referred to in Rule 910 shall be in a savings institution in Saskatchewan, and shall be:

- (a) an account which is readily available to be drawn upon by the member, and in respect of which the member receives cancelled cheques or cheque images in a form approved by the Law Society, and bank statements each month;
- (b) an account in respect of which the savings institution has agreed with the member to pay interest to the Law Foundation in accordance with subrule (2);
- (c) kept in the name of:
  - (i) the individual member;
  - (ii) the firm of which the individual member is a partner; or
  - (iii) the member or firm by which the individual member is employed; and
- (d) designated as a "trust" or "client" account on the records of the savings institution and of the member;
- (e) insured by the Canada Deposit Insurance Corporation or the Credit Union Deposit Guarantee Corporation.

(2) A member who opens or maintains a mixed trust account shall:

- (a) instruct the savings institution in writing to remit to the Law Foundation at least quarterly the interest earned on the account; and
- (b) if the account is opened or maintained at a bank or trust company, notify the institution in writing that the account is a trust account which will contain the funds of more than one client.

(3) Subject to subrule (4) and Rule 971(1), a member shall not deposit into a mixed trust account any funds which are not trust funds.

(4) A member shall pay out of his or her own funds any service fees or charges levied by the savings institution arising out of the operation of a mixed trust account, and for that purpose may maintain in a mixed trust account a sufficient amount of the member's own funds to meet reasonably anticipated service fees or charges.

[Rule 911(e) added February 6, 1997]

[Rule 911(1)(a) amended June 11, 2009]

### **Separate Interest Bearing Trust Account**

912. (1) A separate interest bearing trust account shall be designated as a "trust" or "client" account on the records of the savings institution and of the member, and shall be:

- (a) kept in the name of:
  - (i) the individual member;
  - (ii) the firm of which the individual member is a partner; or
  - (iii) the member or firm by which the individual member is employed; and
- (b) kept in the name of the trust; or



- (c) identified by a number which, from an inspection of the member's books, records and accounts, will identify the client;
  - (d) unless otherwise directed in writing by the client, insured by the Canada Deposit Insurance Corporation or the Credit Union Deposit Guarantee Corporation.
- (2) A member who opens or maintains a separate interest bearing trust account shall instruct the savings institution in writing to deposit into the account when due the interest earned on the account.
- (3) Interest earned on a separate interest bearing trust account shall be recorded in the trust accounting records of the firm no later than 30 days after being paid into or added to the separate interest bearing trust account balance by the financial institution.
- (4) Trust funds for deposit to a separate interest bearing trust account shall first be deposited into a mixed trust account of the firm and then paid to the separate interest bearing trust account.
- (5) Trust funds withdrawn from a separate interest bearing account shall only be transferred to a mixed trust account of the firm and then paid out.
- (6) Subject to Rule 971(1), a member shall not deposit into a separate trust account any funds which are not trust funds.

[Rule 912(d) added February 6, 1997]

[Rule 912(1) and (1)(a)(iii), and (2) amended; (3), (4) and (5) added; item (6) amended to reflect numbering change, June 11, 2009]

[Rule 913 Written Record of Receipt and Disbursement of Trust Funds deleted, June 11, 2009]

[next rule is Rule 920]

## **D. Receipt of Non-Trust Funds**

### **Types of Funds which may be Deposited into a Member's General Account**

920. A member may deposit into a general account only those funds received in connection with the member's practice of law, which are not trust funds.

### **Types of Transactions which must be Recorded in Non-Trust Books, Records and Accounts**

921. (1) A member shall record in the member's non-trust books, records and accounts:
- (a) funds received from the practice of law which belong entirely to the member or to other persons associated with the member in the practice of law;
  - (b) funds which are a general retainer for which the member is not obligated either to account or to render legal services;
  - (c) funds received by the member on account of fees for services already performed; and
  - (d) funds received to reimburse the member for disbursements already made or expenses already incurred on behalf of a client.
- (2) A member who receives funds under subrule (1) shall forthwith deliver a bill for the funds received, containing sufficient particulars to identify the services performed and disbursements incurred.

[Rule 921(2) amended; item (3) deleted, June 11, 2009]

[next rule is Rule 930]

## **E. Balance in Trust Accounts**

### **Maintaining a Sufficient Balance**

930. (1) A member shall at no time permit his or her mixed or separate trust account to be overdrawn.

(2) In this Rule, an account is overdrawn when, according to the member's books, records and accounts, the member holds less funds to the credit of each client or other person on whose behalf an account is maintained, than the member owes to that client or other person under that account.

[next rule is Rule 940]

## **F. Withdrawal of Funds from Trust**

### **Circumstances when Withdrawal is Permitted**

940. (1) A member shall not withdraw or authorize the withdrawal from a trust account of any trust funds unless there are sufficient funds held in that account to the credit of the client on whose behalf of the funds are withdrawn, and:

- (a) the funds are properly required for payment to or on behalf of a client;
- (b) the funds belong to the member;
- (c) the funds are properly payable to the member in respect of a liability of the client to the member for fees, disbursements or other expenses;
- (d) the withdrawal is to correct a deposit which was mistakenly made to the account;
- (e) the funds are being paid from one mixed trust account to another mixed trust account, to a separate interest bearing trust account in accordance with Rule 943, or to a mixed trust account in accordance with Rule 950;
- (f) the funds are unclaimed trust funds which are being paid to the Law Society in accordance with Part 16 of these Rules;
- (g) the withdrawal is in accordance with Rule 992; or
- (h) the withdrawal is authorized in writing by the Executive Director.

(2) A member shall, as soon as practicable after becoming entitled to funds held in the member's trust account, withdraw those funds from trust.

(3) A member shall not withdraw funds from his or her trust account without written confirmation from the financial institution in which the trust account is held that the funds held to the credit of the matter for which the withdrawal is made are sufficient to cover the withdrawal. Such written confirmation may be:

- (a) bank statements;
- (b) bank deposit slips which have been initialed by an employee of the financial institution;
- (c) a letter or facsimile message confirming that the financial institution has received the funds by means of electronic transfer.

[Rule 940(3) added October 27, 1994]  
[Rule 940(1)(e) and (h) amended June 11, 2009]

### **Withdrawal for Payment of Fees and Accounting to Client**

941. (1) A member who withdraws or authorizes the withdrawal of trust funds under Rule 940(1)(c), where the liability of the client to the member is for fees earned by the member, must first prepare a bill for those fees and, unless the client directs otherwise in writing, deliver the bill or other written notification to the client prior to or forthwith following the withdrawal.

- (2) A bill is delivered within the meaning of subrule (1) if it is:
- (a) mailed by regular or registered mail to the client at the client's last known address;
  - (b) delivered personally to the client; or
  - (c) transmitted by electronic means to the client.

(3) The law firm shall account to the client, in writing, for all trust funds received and disbursed at the conclusion of the matter. The law firm shall also account to the client more frequently upon reasonable client request.

[Rule 941(1) and (2)(c) amended; (3) added, June 11, 2009]

### **Procedure for Withdrawing Funds from a Mixed or Separate Trust Account**

942. (1) Subject to subrule (2), a member who makes or authorizes the withdrawal or transfer of funds from a mixed trust account:

- (a) shall effect the withdrawal or transfer by a cheque marked "trust";
- (b) shall not make the cheque payable to "cash" or "bearer"; and
- (c) shall, notwithstanding Rule 901 and subject to subrule (4), (5) and (6), ensure that the cheque is signed by a member.

(2) Money may be electronically transferred by a law firm subject to the following conditions:

- (a) the withdrawal from trust must be greater than or equal to twenty-five million dollars;
- (b) the transfer system used must be able to produce within one banking day of the transfer a confirmation from the financial institution showing the details on the transfer;
- (c) the confirmation from the financial institution must be in hardcopy form and must contain the following details: date of transfer, source trust account information (account name, financial institution and account number), destination account information (account name, financial institution and account number), authorizing lawyer reference and amount of the transfer;
- (d) the law firm must complete a \$25 Million Non-Cheque Transfer Requisition Form in Form T-8. The requesting lawyer and authorizing lawyer sections of Form TA-8 must be signed and dated by an active member of the firm;
- (e) the law firm must obtain the confirmation from the financial institution and within two banking days an active member of the firm:
  - (i) must write the name of the client and file number on the confirmation;
  - (ii) must sign and date the confirmation;
  - (iii) must agree the particulars from the confirmation to the \$25 Million Non-Cheque Transfer Requisition Form;
  - (iv) must verify that the money was properly transferred in accordance with the requisition; and
  - (v) must sign and date the verifying lawyer section of Form TA-8.

(3) A member who withdraws or authorizes the withdrawal of trust funds for the payment of fees, disbursements or other expenses, or for payment to or on behalf of the client, shall effect the withdrawal by a cheque payable to the member's general account.

(4) Once a legal matter is concluded, the law firm shall ensure related trust money is paid out expeditiously.

(5) The Executive Director may, on application, authorize in writing a person other than a member to sign a cheque drawn on the member's mixed trust account, subject to any conditions, including bonding and signing authority, that the Executive Director considers appropriate.

(6) Subrule (1) does not apply to the interest earned on a mixed trust account which the member has instructed the savings institutions to pay to the Law Foundation under Rule 911(2).

[Rule 942(2) added February, 2003]

[Rule 942(1) and (1)(c) amended; new (4) added; (5) and (6) amended to reflect amendment, as well as numbering change, June 11, 2009]

### **Procedure for Transferring Funds to a Separate Interest Bearing Trust Account**

943. A member who makes or authorizes the payment of funds from a mixed trust account to a separate interest bearing trust account shall ensure that the payment is made by cheque in accordance with Rule 942(1) or

- (a) the transfer is authorized in writing; and
- (b) the written authorization is signed by a member.

[Rule 943 amended June 11, 2009]

[next rule is Rule 950]

## G. Withdrawal of Funds from a Separate Interest Bearing Trust Account

### Transfer of Funds to a Mixed Trust Account

950. A member who makes or authorizes the withdrawal of funds from a separate interest bearing trust account, shall do so by transferring the funds into the member's mixed trust account.

[Rule 950 amended; (2) deleted, June 11, 2009]

[next rule is Rule 960]

## H. Books, Records and Accounts Required to be Maintained

### Object of Maintaining Books, Records and Accounts

960. (1) A member shall maintain an adequate accounting system, including the books, records and accounts described in this Part, in order to record all funds and other negotiable property received and disbursed in connection with the member's law practice.

(2) A member shall, at the written direction of the Executive Director, make such modifications to the member's accounting system as the Executive Director considers necessary.

### Form of Books, Records and Accounts

961. (1) A member's books, records and accounts shall be maintained in Saskatchewan, and shall be:

- (a) in legibly handwritten form, in ink or other duplicated or permanent form;
  - (b) in printed form; or
  - (c) subject to subrule 961(2) in electronic form.
- (2) A law firm that has computerized accounting records shall:
- (a) print the following records monthly:
    - trust journal
    - trust reconciliation including client trust listing
    - trust property record
  - (b) print the client trust ledger cards:
    - monthly, unless they can be printed in their entirety upon demand
    - at the conclusion of the matter and store them in a central file maintained for closed ledgers
  - (c) print the following records monthly, unless they can be printed upon demand:
    - general journal
    - general bank reconciliation
    - billing journal
    - accounts receivable detail and listings
  - (d) maintain an electronic backup of the accounting records updated at least monthly in a safe and secure location.

(3) The transactions recorded in a member's books, records and accounts shall be in chronological order, and in an easily-traceable form.

[Rule 961(1)(c) amended; new item (2) added; (3) amended to reflect numbering change, June 11, 2009]

### Types of Trust Books, Records and Accounts Required to be Maintained

962. A member shall maintain at least the following trust books, records and accounts:

- (a) a **daily journal** or other book of original entry, which may be in synoptic form, recording:
  - (i) for all funds received in trust for each client, the date of receipt, the source of the funds and the identity of the client on whose behalf the trust funds are received;
  - (ii) for all funds disbursed out of trust for each client, the cheque or voucher number, the date of each disbursement, the name of each recipient and the identity of the client on whose behalf the trust funds are disbursed;

- (b) a **clients' trust ledger** recording separately for each client on whose behalf trust funds have been received, all such trust funds received and disbursed, and the unexpended balance;
- (c) a **transfer record** showing each transfer of funds between clients' trust ledgers, and:
  - (i) containing an explanation of the purpose for which each transfer is made; and
  - (ii) containing the member's signed approval of the transfer;
- (d) the **monthly trust reconciliations** required to be prepared under Rule 970(1), and the detailed listings and reconciliations described in Rule 970(2);
- (e) a **negotiable valuable property record** showing all negotiable valuable property, other than money, held in trust from time to time for clients; and
- (f) all **supporting records**, including bank statements, pass books, cancelled cheques, detailed duplicate deposit slips or other records of all deposits, bank vouchers and similar documents and invoices.

[Rule 962(c)(ii) amended June 11, 2009]

### **Types of Non-Trust Books, Records and Accounts Required to be Maintained**

963. (1) A member shall maintain at least the following non-trust books, records and accounts:

- (a) a **daily journal** or other book of original entry, which may be in synoptic form, recording:
  - (i) for all non-trust funds received relating to the law practice, the date of receipt, the amount received and the source of the funds; and
  - (ii) for all non-trust funds disbursed, the amount, the cheque or voucher number, the date of each disbursement and the name of each recipient;
- (b) an **accounts receivable ledger** or other suitable system to record, for each client, the member/client position on all non-trust transactions with respect to which a bill has been delivered or a disbursement made, and including:
  - (i) a record of all transfers from a trust account;
  - (ii) any other receipts from or on behalf of the client; and
  - (iii) the balance, if any, owed by the client;
- (c) copies of **billings** filed in chronological, alphabetical or numerical order, showing all fees charged or other billings made to clients, the dates such charges are made, and the identification of the clients charged; and
- (d) all **supporting records**, including bank statements, pass books, cancelled cheques, detailed duplicate deposit slips or other records of all deposits, bank vouchers and similar documents and invoices.

(2) The information required to be recorded on the accounts receivable ledger referred to in subrule (1)(b) may be recorded on the clients' trust ledger referred to in Rule 962(b), provided that the entries are clearly identified and are not combined with trust account information.

(3) A law firm shall reconcile its general account(s) within 30 days of month end.

[Rule 963(1)(c) amended April 23, 1998]

[Rule 963(1)(a)(i) and (ii) amended; (3) added, June 11, 2009]

### **Recording of Transactions in Books, Records and Accounts**

964. (1) A member shall record each trust transaction promptly, and in any event not more than 3 business days after the transaction.

(2) A member shall record each non-trust transaction promptly, and in any event not later than 7 days after the end of the month in which the transaction occurred.

[Rule 964(2) amended October 23, 1997]

[Rule 964(2) amended June 11, 2009]

### **Adding and Balancing Daily Journals**

965. (1) A member shall add and balance each trust daily journal at least monthly, and in any event not more than 30 days after the end of the month in which the transaction occurred.

(2) A member shall add and balance each non-trust daily journal at least monthly, and in any event not more than 30 days after the end of the month in which the transaction occurred.

[Rule 965(2) amended October 23, 1997]  
[Rule 965(1) and (2) amended June 11, 2009]

### **Disclosure by Financial Institution**

966. (1) A member who maintains a trust account or trust accounts in any financial institution shall execute an authorization in Form TA-3 or its equivalent, permitting the institution to disclose to the Law Society any of the following:

- (a) an overdraft in that trust account;
- (b) the presentation of a cheque to the financial institution which if honoured would result in an overdraft;
- (c) any other circumstance which may indicate that the balance of the trust account may be insufficient to satisfy the legitimate claims against it.

(2) The authorization referred to in (a) above shall contain a release and waiver by the member of any claim whatever which the member may have as against the financial institution or any of its officers, agents or employees arising from such disclosure.

[Rule 966 added February 6, 1997]

[next rule is Rule 970]

## **I. Monthly Trust Reconciliations**

### **Preparation of Monthly Trust Reconciliation**

970. (1) A member shall prepare a monthly trust reconciliation of:

- (a) the total of all unexpended balances of funds held in trust for clients, as they appear in the clients' trust ledger; and
- (b) the total of trust fund balances held in all trust accounts, as they appear in the records of the savings institution

together with the reasons for any differences between the totals.

(2) The monthly trust reconciliation shall be supported by:

- (a) a detailed monthly listing showing the unexpended balance of trust funds held for each client and, in respect of each such amount, identifying the client for whom the trust funds are held;
- (b) a detailed monthly bank reconciliation for each mixed trust account;
- (c) a listing of balances of each separate trust account or savings, deposit, investment or similar form of account, identifying the client for whom each is held; and
- (d) a listing of balances of all other trust funds received pursuant to Rule 910(2), identifying the client for whom each is held.

(3) The listings and reconciliations described in subrule (2) shall be retained as records supporting the monthly trust reconciliation.

(4) The trust reconciliation required under subrule (1) shall be made not more than 30 days after the end of the period to which it pertains.

(5) The completed monthly trust reconciliation shall be reviewed, signed and dated by a member not more than 30 days after the end of the period to which it pertains.

[Rule 970(4) amended; (5) added, June 11, 2009]

**Duty on Member to Eliminate a Trust Shortage and to Report to the Society**

971. (1) A member who discovers a trust shortage shall forthwith pay funds into the account sufficient to eliminate the shortage.

(2) Where the trust shortage referred to in subrule (1) exceeds \$1,000, the member shall forthwith report the shortage, and the circumstances surrounding it, to the Executive Director in writing.

[Rule 971(2) amended June 11, 2009]

**Duty to Report to the Society an Inability to Deliver up Trust Funds when Due**

972. A member who discovers that he or she will be unable to deliver up when due any trust funds held by the member shall forthwith report that fact, and the reasons for it, to the Executive Director in writing.

[next rule is Rule 980]

**J. Retention Period for Trust and Non-Trust Books, Records and Accounts****Retention Period**

980. (1) Subject to subrule (2), a member shall retain for at least 6 years all the books, records and accounts required to be maintained under this Part.

(2) Notwithstanding subrule (1), a member shall retain for at least 10 years the books, records and accounts referred to in Rule 962(a) and (b) and Rule 963(c), unless the Executive Director authorizes in writing a shorter retention period.

[Note: The *Income Tax Act*, or other legislation, may require a member to retain certain records for a longer period of time than is required under Rule 980].

[Rule 980 Note amended June 11, 2009]

**Retention Location**

981. (1) Subject to subrules (2) and (3), a member shall retain:

- (a) at his or her chief place of practice in Saskatchewan the books, records and accounts referred to in Rule 980 pertaining to the most recent 2-year period; and
- (b) at a location in Saskatchewan the other books, records and accounts required to be retained under Rule 980.

(2) A member practising in Lloydminster, Alberta or Flin Flon, Manitoba shall retain:

- (a) at his or her chief place of practice in Lloydminster or Flin Flon, as the case may be, the books, records and accounts referred to in Rule 980 pertaining to the most recent 2-year period; and
- (b) at a location in Lloydminster or Flin Flon, as the case may be, the other books, records and accounts required to be retained under Rule 980.

(3) A member of the Society who practices law as a member of an interjurisdictional law firm shall ensure that, with respect to the firm's practice of law in Saskatchewan, the firm's books, records and accounts, wherever maintained, are available on demand by the Society or its designated agent.

[Rule 981(1)(a) and (2)(a) amended June 11, 2009]

[next rule is Rule 990]

**K. Modification of Requirements****Executive Director's Modification**

990. (1) The Executive Director may, in writing, modify the requirements of Rules 962, 963 and 980 in respect of a member, having regard to the accounting and storage systems employed by that member, and the Executive Director may, in writing, cancel or amend the modification at any time.

(2) A member who receives a written modification from the Executive Director under subrule (1) shall retain it as long as the books, records and accounts to which it relates are retained.

## **L. Annual CDIC Report**

### **Filing Annual CDIC Report with Each Savings Institution**

991. A member who maintains a mixed trust account in a savings institution which is insured by the Canada Deposit Insurance Corporation ("CDIC") shall file an annual report for each such account with that institution in accordance with section 3(3) of the Schedule to the *Canada Deposit Insurance Corporation Act*, so that each client's funds, rather than the account itself, is insured up to the limit of CDIC insurance.

## **M. Member's Right to Claim Trust Funds**

### **Rules do not Deprive Member of Right to Claim Funds**

992. Nothing in this Part deprives a member of any recourse or right, whether by way of lien, set-off, counterclaim, charge or otherwise, against funds standing to the credit of a client in a trust account maintained by the member.

[next rule is Rule 995]

## **N. Inspection of a Member's Records**

### **Spot Audits**

995. (1) The auditor inspector employed by the Law Society is authorized to attend at the offices and branch offices of any member to review all of the member's books and records required to be kept pursuant to the *Act* and the Rules.

(2) Members are required to co-operate with the auditor inspector and to comply with all reasonable requests.

[Rule 995 added October 23, 1992]

[next rule is Rule 1000]

### **Person Designated to Make a Demand**

1000. (1) The person designated by the Benchers to make a demand under section 63(1) of the *Act* is the Executive Director.

### **Contents of Service of a Demand**

1001. A demand under section 63(1) of the *Act* shall:

- (a) be in writing, signed by the Executive Director;
- (b) state:
  - (i) the nature of the investigation in respect of which the demand is made;
  - (ii) which categories of the member's records or other property are to be produced;
  - (iii) the time by which and the person to whom the member's records or other property are to be produced; and
  - (iv) the text of sections 60 and 63 of the *Act*; and
- (c) be given personally to the member or served on the member in accordance with section 85 of the *Act*.

### **Production of a Member's Records or Other Property**

1002. A person to whom a member's records or other property are produced under section 63(1) of the *Act* shall, where practicable, conduct the investigation or inspection at the location at which the records or other property are produced.



**Duty to Preserve Confidentiality**

1003. A person who, in the course of acting under section 63(4) of the *Act*, becomes privy to information, files or records that are confidential or are subject to solicitor and client privilege, has the same obligation respecting the disclosure of that information as the member from whom the information, files or records were obtained.

**Costs**

1004. (1) Where, as a result of section 10(t)(i) and proceedings under section 63 of the *Act*, the Chairperson of the Discipline Committee determines that the member has not complied with the Rules in this Part respecting the keeping of books, records and accounts, the Chairperson may order that the member pay, by the date specified in the order, part or all of the expense of the investigations.

(2) In subrule (1), "investigations" include:

- (a) the inspection of the member's books, records and accounts by the officers, auditors or agents of the Society or by any other person designated by the Benchers or appointed by the Chairperson of the Discipline Committee;
- (b) an application under section 63(2) of the *Act* and any appeal therefrom;
- (c) action taken under section 63(3) of the *Act*, and
- (d) the copying, transportation, retention and disposition of the member's records or other property.

(3) A member who has not paid the full amount owing under subrule (1) by the date fixed or extended by the Chairperson of the Discipline Committee is suspended from the practice of law until the amount owing is paid in full.

(4) The costs of any proceedings under section 63 of the *Act* which are not recovered from the member under subrule (1) may be recovered from the Special Fund.

[Rule 1004(1) amended December 10, 1992]

[Rule 1004(4) amended June 11, 2009]

[next rule is Rule 1010]

**O. Bankruptcy of a Member****Definitions**

1010. In Rules 1010 to 1013, "a member who is the subject of bankruptcy proceedings" means a member who as defined by *The Bankruptcy and Insolvency Act*:

- (a) is bankrupt;
- (b) is an insolvent person;
- (c) commits an act of bankruptcy;
- (d) has made a proposal; or
- (e) has applied for a consolidation order

pursuant to *The Bankruptcy and Insolvency Act*, as amended.

[Rule 1010 amended September 17, 1993 and April 15, 1994]

**Duty to Report Bankruptcy to the Society**

1011. A member who is the subject of bankruptcy proceedings shall forthwith:

- (a) notify the Executive Director in writing of that fact; and
- (b) provide to the Executive Director such information and documents in the member's possession or control relating to the bankruptcy that the Executive Director reasonably requests.

**Practice Conditions**

1012. (1) Subject to subrule (2), the following conditions apply to a member who is the subject of bankruptcy proceedings:

- (a) the member shall not be the sole signatory on any trust account while remaining an undischarged bankrupt; and
  - (b) the additional signatory on any trust account shall be a member of the Law Society in good standing who is not the subject of bankruptcy proceedings.
- (2) The Chairperson of the Discipline Committee may, by order in writing, relieve a member from compliance with subrule (1), subject to any conditions stated in the order which the Chairperson considers appropriate.

### Notification to the Membership

1013. There will be no notification to the membership that a member has become the subject of bankruptcy proceedings unless the Chairperson of the Discipline Committee is of the opinion that there is a significant reason to do so. In that event, the Chairperson shall direct the Executive Director to promptly notify the membership of:

- (a) the identity of the member who becomes the subject of bankruptcy proceedings;
- (b) any practice conditions imposed on the member under Rule 1012; and
- (c) the identity of a member who has ceased to be the subject of bankruptcy proceedings, where that member's identity was published under clause (a).

[Rule 1013 amended February 4 & 5, 1993]

[next rule is Rule 1020]

## P. Client Identification and Verification Requirements

### Definitions

1020. In this Part, “**electronic funds transfer**” means an electronic transmission of funds conducted by and received at a financial institution or a financial entity headquartered in and operating in a country that is a member of the Financial Action Task Force, where neither the sending nor the receiving account holders handle or transfer the funds, and where the transmission record contains a reference number, the date, transfer amount, currency and the names of the sending and receiving account holders and the conducting and receiving entities.

“**financial institution**” means

- (a) an authorized foreign bank within the meaning of section 2 of the *Bank Act* in respect of its business in Canada or a bank to which the *Bank Act* applies,
- (b) a cooperative credit society, savings and credit union or *caisse populaire* that is regulated by a provincial Act,
- (c) an association that is regulated by the *Cooperative Credit Associations Act* (Canada),
- (d) a company to which the *Trust and Loan Companies Act* (Canada) applies,
- (e) a trust company or loan company regulated by a provincial Act,
- (f) a department or agent of Her Majesty in right of Canada or of a province where the department or agent accepts deposit liabilities in the course of providing financial services to the public; or
- (g) a subsidiary of the financial institution whose financial statements are consolidated with those of the financial institution.

“**funds**” means cash, currency, securities and negotiable instruments or other financial instruments that indicate the person's title or interest in them;

“**lawyer**” means, in the Province of Quebec, an advocate or a notary and, in any other province, a barrister or solicitor;

**“organization”** means a body corporate, partnership, fund, trust, co-operative or an unincorporated association;

**“proceedings”** means a legal action, application or other proceeding commenced before a court of any level, a statutory tribunal in Canada or an arbitration panel or arbitrator established pursuant to provincial, federal or foreign legislation and includes proceedings before foreign courts.

**“public body”** means

- (a) a department or agent of Her Majesty in right of Canada or of a province,
- (b) an incorporated city, town, village, metropolitan authority, township, district, county, rural municipality or other incorporated municipal body or an agent of any of them,
- (c) a local board of a municipality incorporated by or under an Act of a province or territory of Canada including any local board as defined in the *Municipal Act* (Ontario) [or equivalent legislation] or similar body incorporated under the law of another province or territory,
- (d) an organization that operates a public hospital authority and that is designated by the Minister of National Revenue as a hospital under the *Excise Tax Act* (Canada) or an agent of the organization,
- (e) a body incorporated by or under the law of an Act of a province or territory of Canada for a public purpose; or
- (f) a subsidiary of a public body whose financial statements are consolidated with those of the public body.

**“reporting issuer”** means an organization that is a reporting issuer within the meaning of the securities laws of any province or territory of Canada, or a corporation whose shares are traded on a stock exchange designated under section 262 of the Income Tax Act (Canada) and operates in a country that is a member of the Financial Action Task Force, and includes a subsidiary of that organization or corporation whose financial statements are consolidated with those of the organization or corporation.

**“securities dealer”** means a person or entity that is authorized under provincial legislation to engage in the business of dealing in securities or any other financial instruments or to provide portfolio management or investment advising services.

### **Client Identity**

1021. (1) Subject to Rule 1021(3), a lawyer who is retained by a client to provide legal services must comply with the requirements of this Rule.

(2) A lawyer’s responsibilities under this Rule may be fulfilled by any member, associate or employee of the lawyer’s firm, wherever located.

(3) Rules 1022 through 1028 do not apply to

- (a) a lawyer when he or she provides legal services or engages in or gives instructions in respect of any of the activities described in Rule 1023 on behalf of his or her employer,
- (b) a lawyer
  - (i) who is engaged as an agent by the lawyer for a client to provide legal services to the client, or
  - (ii) to whom a matter for the provision of legal services is referred by the lawyer for a client, when the client’s lawyer has complied with sections Rules 1022 through 1028; or
- (c) a lawyer providing legal services as part of a duty counsel program sponsored by a non-profit organization, except where the lawyer engages in or gives instructions in respect of the receiving, paying or transferring of funds other than an electronic funds transfer.

1022. A lawyer who is retained by a client as described in Rule 1021(1) shall obtain and record the following information:

- (a) the client's full name,
- (b) the client's business address and business telephone number, if applicable,
- (c) if the client is an individual, the client's home address and home telephone number,
- (d) if the client is an organization, other than a financial institution, public body or reporting issuer, the organization's incorporation or business identification number and the place of issue of its incorporation or business identification number, if applicable,
- (e) if the client is an individual, the client's occupation or occupations,
- (f) if the client is an organization,
  - (i) other than a financial institution, public body or a reporting issuer, the general nature of the type of business or businesses or activity or activities engaged in by the client, where applicable, and
  - (ii) the name and position of and contact information for the individual(s) authorized to provide and giving instructions to the lawyer with respect to the matter for which the lawyer is retained.
- (g) if the client is acting for or representing a third party, information about the third party as set out in paragraphs (a) to (f) as applicable.

### **Client Identity and Verification**

1023. Subject to Rule 1024, Rule 1025 applies where a lawyer who has been retained by a client to provide legal services engages in or gives instructions in respect of the receiving, paying or transferring of funds, other than an electronic funds transfer.

### **Exemptions re: Certain Funds**

1024. (1) Rule 1025 does not apply where the client is a financial institution, public body or reporting issuer.

- (2) Rule 1025 does not apply in respect of funds,
  - (a) paid by or to a financial institution, public body or a reporting issuer;
  - (b) received by a lawyer from the trust account of another lawyer;
  - (c) received from a peace officer, law enforcement agency or other public official acting in their official capacity;
  - (d) paid or received pursuant to a court order or to pay a fine or penalty;
  - (e) paid or received as a settlement of any proceedings; or
  - (f) paid or received for professional fees, disbursements, expenses or bail.

1025. (1) When a lawyer is engaged in or gives instructions in respect of any of the activities described in Rule 1023, including non-face-to-face transactions, the lawyer shall take reasonable steps to verify the identity of the client, including the individual(s) described in Rule 1022 f (ii), and, where appropriate, the third party, using what the lawyer reasonably considers to be reliable, independent source documents, data or information.

### **Examples of Independent Source Documents**

- (2) For the purposes of subsection (1), independent source documents may include:
  - (a) if the client or third party is an individual, valid original government issued identification, including a driver's licence, birth certificate, provincial or territorial health insurance card [if such use of the card is not prohibited by the applicable provincial or territorial law], passport or similar record;
  - (b) if the client or third party is an organization such as a corporation or society that is created or registered pursuant to legislative authority, a written confirmation from a government registry as to the existence, name and address of the organization, including the names of its directors, where applicable, such as
    - (i) a certificate of corporate status issued by a public body,
    - (ii) a copy obtained from a public body of a record that the organization is required to file annually under applicable legislation, or

- (iii) a copy of a similar record obtained from a public body that confirms the organization's existence; and
- (c) if the client or third party is an organization, other than a corporation or society, that is not registered in any government registry, such as a trust or partnership, a copy of the organization's constating documents, such as a trust or partnership agreement, articles of association, or any other similar record that confirms its existence as an organization.

#### Identifying Directors, Shareholders and Owners

(3) When a lawyer is engaged in or receives instructions in respect of any of the activities in Rule 1023 for a client or third party that is an organization referred to in subsection (2)(b) or (c), the lawyer shall make reasonable efforts to obtain, and if obtained, record,

- (a) the name and occupation of all directors of the organization, other than an organization that is a securities dealer, and
- (b) the name, address and occupation of all persons who own 25 per cent or more of the organization or of the shares of the organization.

#### Client Identity and Verification in Non-Face-to-Face Transactions

(4) (a) When a lawyer engages in or receives instructions in respect of any of the activities in Rule 1023 for a client or third party who is an individual who is not physically present before the lawyer but is present elsewhere in Canada, the lawyer shall verify the client's identity by obtaining an attestation from a commissioner of oaths in Canada, or a guarantor in Canada, that the commissioner or guarantor has seen one of the documents referred to in subsection (2)(a).

(b) When a lawyer who engages in or receives instructions in respect of any of the activities in Rule 1023 for a client that is an organization is instructed by an individual described in 1022 f (ii) who is not physically present before the lawyer but is present elsewhere in Canada, the lawyer shall verify the individual's identity by obtaining an attestation from a commissioner of oaths in Canada, or a guarantor in Canada, that the commissioner or guarantor has seen one of the documents referred to in subsection (2)(a).

(5) For the purpose of subsection (4), an attestation shall be produced on a legible photocopy of the document and shall include

- (a) the name, profession and address of the person providing the attestation;
- (b) the signature of the person providing the attestation; and
- (c) the type and number of the identifying document provided by the client, third party or instructing individual(s).

(6) For the purpose of subsection (4), a guarantor must be a person employed in one of the following occupations in Canada:

- (a) dentist;
- (b) medical doctor;
- (c) chiropractor;
- (d) judge;
- (e) magistrate;
- (f) lawyer;
- (g) notary (in Quebec);
- (h) notary public;
- (i) optometrist;
- (j) pharmacist;
- (k) professional accountant (APA [Accredited Public Accountant], CA [Chartered Accountant], CGA [Certified General Accountant], CMA [Certified Management Accountant], PA [Public Accountant] or RPA [Registered Public Accountant]);
- (l) professional engineer (P.Eng. [Professional Engineer, in a province other than Quebec] or Eng. [Engineer, in Quebec]);
- (m) veterinarian;
- (n) peace officer;

- (o) paralegal licensee in Ontario;
- (p) nurse; or
- (q) school principal.

#### Use of Agent

(7) A lawyer may, and where an individual client, third party or individual described in and in connection with subsection (2)(b), the individuals described in Rule 1022 (f) (ii) is not physically present and is outside of Canada, shall, rely on an agent to obtain the information described in subsection (2) to verify the person's identity, which may include, where applicable, an attestation described in this section, provided the lawyer and the agent have an agreement or arrangement in writing for this purpose.

(8) A lawyer who enters into an agreement or arrangement referred to in subsection (7) shall obtain from the agent the information obtained by the agent under that agreement or arrangement.

#### Timing of Verification for Individuals

(9) A lawyer shall verify the identity of

- (a) a client who is an individual, and
- (b) the individual(s) authorized to provide and giving instructions on behalf of an organization with respect to the matter for which the lawyer is retained, upon engaging in or giving instructions in respect of any of the activities described in Rule 1023.

(10) Where a lawyer has verified the identity of an individual, the lawyer is not required to subsequently verify that same identity if the lawyer recognizes that person.

#### Timing of Verification for Organizations

(11) A lawyer shall verify the identity of a client that is an organization within 60 days of engaging in or giving instructions in respect of any of the activities described in Rule 1023.

(12) Where the lawyer has verified the identity of a client that is an organization and obtained information pursuant to subsection 6(3), the lawyer is not required to subsequently verify that identity or obtain that information.

#### Record Keeping and Retention

1026. (1) A lawyer shall obtain and retain a copy of every document used to verify the identity of any individual or organization for the purposes of Rule 1025(1).

(2) The documents referred to in subsection (1) may be kept in a machine-readable or electronic form, if a paper copy can be readily produced from it.

(3) A lawyer shall retain a record of the information and any documents obtained for the purposes of Rules 1022 and 1025(3) and copies of all documents received for the purposes of Rule 1025(1) for the longer of

- (a) the duration of the lawyer and client relationship and for as long as is necessary for the purpose of providing service to the client, and
- (b) a period of at least six years following completion of the work for which the lawyer was retained.

#### Application

1027. Rules 1021 through 1026 do not apply to matters in respect of which a lawyer was retained before this Rule comes into force but they do apply to all matters for which he or she is retained after that time regardless of whether the client is a new or existing client.

#### Criminal Activity, Duty to Withdraw at Time of Taking Information

1028. (1) If in the course of obtaining the information and taking the steps required in Rules 1022 and 1025(1) or (3), a lawyer knows or ought to know that he or she is or would be assisting a client in fraud or other illegal conduct, the lawyer must withdraw from representation of the client.

Application

(2) This section applies to all matters, including new matters for existing clients, for which a lawyer is retained after this Rule comes into force.

**Criminal Activity, Duty to Withdraw After Being Retained**

1029. (1) If while retained by a client, a lawyer knows or ought to know that he or she is or would be assisting the client in fraud or other illegal conduct, the lawyer must withdraw from representation of the client.

Application

(2) This section applies to all matters for which a lawyer was retained before this Rule comes into force and to all matters for which he or she is retained after that time.

[Rules 1020 – 1029 added May 1, 2009]

[next rule is Rule 1050]

**Q. Termination of Practice**

1050. (1) The law firm shall close all trust accounts within 90 days after withdrawing from or winding up a practice, unless written consent from the Law Society is obtained.

(2) The terminating law firm shall make appropriate arrangements subject to the approval of the Law Society for storage and/or preservation of important documents of an ongoing nature (ie. Wills) and advise the Law Society in writing of the arrangements within 90 days of termination of the firm.

[Rule 1050 added June 11, 2009]

[next rule is Rule 1100]

## PART 14

### Annual Practice Certificate

#### Issuance of Annual Practice Certificate

1100. (1) The Executive Director shall, in respect of each practice year, issue a practicing certificate to an active member who, before the commencement of that practice year:

- (a) has paid the fees fixed under Rule 800;
- (b) has filed a completed Annual Practice Declaration in a form approved by the Benchers;
- (c) has complied with the *Act*, these Rules and all requirements made under them; and
- (d) is otherwise in good standing.

(2) An active member who is not eligible for a practicing certificate under subrule (1) becomes, effective January 1, a suspended member.

(3) A member who does not pay the administration fee and quarterly payments on December 1 and on March 1, June 1 and September 1 fixed under Rule 800(3) becomes effective January 1, March 2, or June 2 or September 2, a suspended member.

[Rule amended February 5, 2001]

#### Disqualified Member

1101. (1) A member who fails to pay fees as an active or inactive member is disqualified from the rights and privileges accorded to membership of any kind and must apply for reinstatement pursuant to Rule 212.

(2) Notwithstanding the above any member of the Society who is subject of an investigation by an Investigation Committee, Complaints Counsel or has been named in a formal complaint which has not yet been before a Hearing Committee remains subject of any outstanding discipline matters regarding him or her.

[Rule 1101(1) amended March 27, 1992; Rule 1101(3) added April 15, 1994; Rule 1101(2) amended June 9, 1994]

[Rule 1101(3) amended September, 2006]

[Rule 1101(1) amended; (2) deleted then renumbered and amended December 7, 2007]

#### Notification

1102. The Executive Director shall, promptly after each January 1:

- (a) notify all members who have become disqualified members of that fact, the consequences flowing from their being disqualified members and the procedure to be followed in becoming an inactive member or seeking reinstatement as an active member;
- (b) give notification of those persons who have become disqualified members to:
  - (i) the Chief Justice of Saskatchewan;
  - (ii) the Chief Justice of the Saskatchewan Court of Queen's Bench;
  - (iii) the Chief Judge of the Provincial Court of Saskatchewan;
  - (iv) the Minister of Justice for Saskatchewan; and
  - (v) the Master of Titles; and
- (c) cause a notice to be published in the *Saskatchewan Gazette*, identifying those persons who have become disqualified members.

[Rules 1100, 1101, 1102 and 1103 amended February 6, 1997]

[Rule 1102(a) amended, (b) removed and replaced; (c) amended December 7, 2007]

[Rule 1102(b) amended June 11, 2009]



**Liability Insurance Coverage**

1103. A member who becomes disqualified under Rule 1100(2) and who is reinstated as an active member prior to March 1 of the current practice year is deemed to have been insured, while a disqualified member, for errors or omissions occurring before the member became or while the member was disqualified.

[Rules 1100, 1101, 1102 and 1103 amended February 6, 1997]  
[Rule 1103 amended December 7, 2007]

**Designated Contact Person**

1104. Where a member is, or is held out to be:

- (a) an employee, associate or partner of a law firm; or
- (b) an employee of a person or entity that is not a member of the Law Society of Saskatchewan, hereinafter referred to as the employer;

the member shall promptly advise the Society:

- (i) of the name and address of the law firm or employer from which he or she derives his or her income, or part thereof, by virtue of his or her having a current practising certificate;
- (ii) of the name and address of at least one person designated by the law firm or employer to receive such information as the Society, in its sole discretion, deems advisable to provide to the law firm or employer relating to the member's involvement with the Society including, without limitation:
  - (1) Discipline Committee investigations and rulings;
  - (2) Professional Standards Committee investigations;
  - (3) professional liability insurance reports, claims or processes;
  - (4) Special Fund reports, claims or processes;
  - (5) failure to pay monies owing to the Society;
  - (6) complaints against the member;
  - (7) general correspondence from the administration office.

[Rule 1104 added June 9, 1994]

[next rule is Rule 1200]

## Part 15

### Accountant's Report

#### Definitions

1200. In this Part, “**fiscal period**” means the time period, not exceeding 12 months without the written approval of the Law Society, for which the accounts of a member have been or ordinarily are made up; “**firm**” means a partnership of members carrying on the practice of law where one set of the books, records and accounts described in Part 13 is maintained; “**member**” includes a member of the Society, a firm and an association of members who carry on the practice of law together other than as a firm.

[Rule 1200 definition “fiscal period” amended June 11, 2009]

#### Filing of Report on Commencement of Practice

1201. (1) A member shall, within 30 days after commencing to practise law, or within 30 days after ceasing to practise law with a firm covered by an Accountant's Report, deliver to the Law Society:

- (a) a Trust Account Commencement Report, in Form TA-1;
- (b) an Exemption Report, in Form TA-7, stating that the member is exempt from compliance with subrule (a) on the basis that the member does not:
  - (i) provide legal services to the public; or
  - (ii) receive or handle trust funds within the course of his or her practice.

[Rule 1201(2) added April 15, 1994]

[Rule 1201(1)(c) amended April 27, 1995]

[Rule 1201 amended May, 2002]

[Rule 1201(1)(a) and (b) amended June 11, 2009]

#### Change in Fiscal Period

1202. A member who changes the fiscal period shown in the Trust Account Commencement Report or the Annual Practice Declaration filed most recently with the Executive Director shall, within 30 days of the change, notify the Executive Director in writing of the member's new fiscal period.

[Rule 1202 amended May, 2002]

#### Filing of Annual Accountant's Report

1203. (1) A member shall, within 3 months after each fiscal period of the member's practice:

- (a) deliver to the Executive Director:
  - (i) an Annual Practice Declaration; and
  - (ii) a Power of Attorney; and
- (b) cause his or her accountant to deliver to the Executive Director an Accountant's Report, unless exempt under Rule 1204.

(2) A member shall, within 3 months after termination of practice or termination of the existence of the firm or association in or with which the member formerly practised:

- (a) deliver to the Executive Director an Annual Practice Declaration; and
- (b) cause his or her accountant to deliver to the Executive Director an Accountant's Report.

(3) A member whose practice termination as described in subrule (2) coincides with the end of the fiscal period is not required to comply with subrule (2).

(4) The Executive Director may approve a member's written request that his or her Accountant's Report cover a time period greater or less than 12 months.

[Rule 1203(1)(a) amended February, 2003]

[Rule 1203(1)(a)(i) and (ii) and (b); and (4) amended June 11, 2009]

### **Exemption from Filing an Accountant's Report**

1204. (1) A member who satisfies the Executive Director that he or she, during the most recent completed fiscal period or during the partial fiscal period immediately preceding termination of practice:

- (a) has not received any funds in trust;
- (b) has not withdrawn any funds held in trust;
- (c) has complied with Part 13 of these Rules; and
- (d) within the time referred to in Rule 1203(1), has delivered to the Executive Director a statutory declaration in a form approved by the Executive Director

is exempt from the filing of the documents referred to in Rule 1203(1) for that time period.

(2) The Law Society of Saskatchewan may establish criteria upon which it may exempt a member from the filing of documents referred to in Rule 1203 (1)(b).

[Rule 1204(1) amended; (2) added December 7, 2007]

### **Late Filing of Accountant's Report**

1205. (1) A member who does not comply with Rule 1201 is in breach of these Rules and is liable to an assessment of \$100 per month.

(2) A member who does not comply with Rule 1203:

- (a) is in breach of these Rules and is liable to an assessment of \$100 for the first month and \$400 for every subsequent month, multiplied by the number of partners in respect of whom the Accountant's Report applies; and
- (b) shall, when the member delivers the Accountant's Report, include a copy of listings and reconciliations referred to in Rule 970(2) for each month subsequent to the period to which the Accountant's Report applies.

(3) A member who does not comply with Rule 1203(1) within 4 months after the end of the fiscal period shall, unless the Executive Director authorizes in writing to the contrary, deliver to the Executive Director by the end of each month until Rule 1203(1) is complied with, the monthly trust reconciliation referred to in Rule 970(1).

[Rule 1205(1) and (2)(a) amended February 7, 2008]

### **Credentials to Complete Accountant's Report**

1206. (1) An Accountant's Report shall be completed and signed by:

- (a) a person who is:
  - (i) a chartered accountant registered as a member in good standing of the Institute of Chartered Accountants of Saskatchewan and in public practice;
  - (ii) a Certified General Accountant registered as a member in good standing of the Association of Certified General Accountants of Saskatchewan and in public practice; or
  - (iii) a Certified Management Accountant registered as a member in good standing of the Association of Certified Management Accountants of Saskatchewan and in public practice;
- (b) a person without the credentials referred to in subrule (a), if the member satisfies the Executive Director that:
  - (i) no person so qualified is reasonably available; and
  - (ii) the person proposed by the member has adequate accounting credentials.

(2) The Executive Director may at any time require a member, whose Accountant's Report was completed and signed by a person described in subrule (1)(b), to deliver a new Accountant's Report by a person who has the credentials specified by the Executive Director.

### **Instructions Respecting Minimum Standards**

1207. An Accountant's Report shall be completed in accordance with the minimum standards published by the Law Society.

[Rule 1207 amended June 11, 2009]

**Prohibited from the Practice of Law**

1208. (1) The Executive Director shall not issue to a member who is in breach of Rules 1203 or 1205(2)(b) or (3) a practising certificate.

(2) The practising certificate of a member who is in breach of Rules 1203, 1205(2)(b) or (3) or 1220 ceases to be valid 7 days after the Executive Director delivers to the member a written notification to that effect.

(3) A member prohibited from the practice of law under subrule (1) or (2) who:

- (a) complies with Rules 1203 or 1205 within 5 months after the fiscal period or termination of practice referred to in Rule 1203(1); and
- (b) pays to the Society any fees, assessments, fines, costs or other amounts owing to the Society

is deemed to be insured, during the period of prohibition, for errors or omissions arising before or during the prohibition.

[Rule 1208(2) amended June 11, 2009]

**Monthly Reports**

1220. (1) A member shall deliver to The Law Society of Saskatchewan, on a monthly basis, any of the books, records and accounts described in Part 13 if required by:

- (a) Rule 1201, Trust Account Commencement Report;
- (b) any penalty or requirement assessed under sections 53(3) or 55(2) of the *Act*, or
- (c) The Law Society of Saskatchewan, at its discretion.

(2) The books, records and accounts to be delivered under subrule (1) shall be delivered not more than 30 days after the end of the period to which they pertain, unless otherwise permitted in writing by the Law Society of Saskatchewan.

[Rule 1220(2) amended June 11, 2009]

**Late Filing of Monthly Reports**

1225. A member who does not comply with Rule 1220 is in breach of these Rules and is liable to an assessment of \$100 per month multiplied by the number of partners.

**Appeal of Late Filing Assessment**

1230. A member assessed a penalty pursuant to Rule 1205(1), 1205(2)(a), or 1225 may appeal the penalty in writing to the Executive Director within 15 days of the member's receipt of the assessment.

[Rules 1220, 1225 and 1230 added February 7, 2008]

[next rule is Rule 1300]

## Part 16

### Unclaimed Trust Funds

[Rule 1300 "committee" definition deleted December 7, 2007]

#### Payment of Unclaimed Trust Funds to the Society

1301. (1) When funds held in trust meet the following criteria:
- (a) the funds have been held in trust for at least two years;
  - (b) the amount of the funds in trust does not exceed fifty dollars;
  - (c) reasonable efforts have been made to locate, identify and pay the person or entity entitled to receive the funds;

the name of each client, the date of payment, and the amount held shall be entered on a list.

(2) The member shall file the list along with a cheque for the sum of all such funds annually with the Law Society as part of the annual trust reporting process.

(3) When a member holds funds exceeding \$50 in trust for two years and has:

- (a) made reasonable efforts to locate and pay the person or entity entitled to receive the funds;
- (b) ascertain the identity of the person or entity entitled to receive the funds;

the member may apply for permission to pay the funds to the Law Society by submitting a properly completed Unclaimed Trust Funds Form (TA9) to the Executive Director.

(4) When a practice has been terminated, an application may be made to pay trust funds to the Law Society before the time periods specified in subparagraphs (1) and (3). The Executive Director may accept such funds if it is in the public interest.

[Rule 1301(1) amended, 1301(4) added October 27, 1994]

[Rule 1301(1) and (4) amended December 7, 2007]

[Rule 1301(1) amended June 11, 2009]

[Rule 1301 amended in its entirety June 17, 2010]

#### Procedure for Investigation of Claims

1302. (1) A person or his or her legal representative who claims entitlement to funds held by the Society under section 14 of the *Act* may make a claim in writing to the Society.

(2) A claimant shall provide the Society with information and documents relating to the claim which the Society reasonably requires.

(3) In order to determine the validity of a claim, the Society may make or authorize such inquiries or further investigations as it considers desirable.

[Rule 1302(1), (2) and (3) amended December 7, 2007]

### Procedure for Adjudication of Claims

1303. (1) The Executive Director may:
- (a) approve or reject a claim based on the information received under Rule 1302; or
  - (b) appoint a hearing committee to conduct an oral hearing to determine the validity of the claim.
- (2) Where an oral hearing is ordered:
- (a) the Society shall notify the claimant in writing of the date, time and place of the hearing;
  - (b) a notice referred to in (a) shall be served in accordance with section 85 of the *Act* and, unless the claimant consents in writing to a shorter time, not less than 30 days before the date set for the commencement of the hearing;
  - (c) the hearing shall be conducted in private unless the hearing committee determines, in the public interest, that a specific individual or the public generally may be present for part or all of the hearing;
  - (d) the hearing committee may determine, subject to the *Act* and these Rules, the practice and procedure to be followed at the hearing;
  - (e) any witness who is competent to do so shall, before testifying, take an oath or make a solemn affirmation;
  - (f) if the hearing committee decides that the proceedings at a hearing shall be recorded by a Court Reporter, a person may obtain, at his or her expense, a transcript of any part of the hearing which he or she was entitled to attend; and
  - (g) the hearing committee may:
    - (i) make such inquiries of a witness as it considers desirable; and
    - (ii) accept any evidence that it considers appropriate, and is not bound by the rules of law concerning evidence.
- (3) Following the hearing of the evidence and submissions, the hearing committee shall determine whether the claimant is entitled to the funds held in trust by the Society.
- (4) Where a claim is approved under subrule (1)(a) or (3), the amount owing to the claimant shall be determined by the Executive Director or the hearing committee, as the case may be, and the Executive Director shall pay that amount to the claimant out of the trust account referred to in section 14(2)(a) of the *Act*.

[Rule 1303(1) and (b), (2)(a), (c), (d), (f) and (g), (3) and (4) amended December 7, 2007]

[next rule is Rule 1400]

## Part 17

### Forms of Practice

#### Registrar

1400. The Executive Director is designated as the “Registrar” as defined in *The Professional Corporations Act*.

#### Approval for Incorporation

1401. (1) Any member or members who intend to incorporate a Professional Corporation for the practice of law in Saskatchewan shall first forward to the Executive Director the proposed articles of incorporation.

(2) If the Executive Director is satisfied that:

- (a) the proposed name of the corporation complies with the provisions of Part 19 of these Rules and is not so similar to other Professional Corporate names as to be misleading or confusing; and
- (b) the voting shares will be legally and beneficially owned by practicing members of the Law Society; and
- (c) the directors will be members of the Law Society

then he/she may provide his/her consent to the incorporation.

#### Application for Permit

1402. (1) A member may apply to the Law Society on behalf of a corporation for a permit pursuant to section 8 of *The Professional Corporations Act* by providing to the Executive Director:

- (a) a completed Form C-1;
- (b) a copy of the articles of incorporation including any amendments;
- (c) a current certificate of status issued pursuant to *The Business Corporations Act* **OR** a certificate of incorporation, showing that the corporation was incorporated less than 60 days prior to the application having been received by the Law Society;
- (d) the fee prescribed by the Benchers in Schedule 1; and
- (e) any other information required by the Executive Director.

(2) Subject to subrule (3), the Executive Director may issue a permit to a corporation which complies with the requirements of the provision of *The Professional Corporations Act*, *The Legal Profession Act (1990)* and these Rules.

(3) A permit shall be in Form C-2 and may contain any conditions that the Executive Director thinks appropriate.

(4) A permit shall, unless sooner revoked, expire on December 31 of the year for which it was issued.

[Rule 1402(1)(c) amended October, 2002]

#### Renewal of Permit

1403. (1) A corporation wishing to have its permit renewed for the following calendar year shall forward to the Executive Director:

- (a) Form C-3;
- (b) Certificate of Status **OR** a written certification signed by the member that the corporation remains in good standing; and
- (c) The renewal fee approved by the Benchers in Schedule 1.

[Rule 1403(1) amended April, 2003]

#### Revocation of Permit

1404. (1) The Executive Director may revoke the permit of any Professional Corporation which fails to meet the requirements set out in *The Professional Corporations Act* or these Rules or fails to comply with any term or condition contained in the permit.

(2) A permit shall be immediately revoked where only one member of the Law Society provides legal services in the name of the Professional Corporation and that person dies or is disbarred or is suspended from the practice of law or ceases to be a member.

(3) The Executive Director shall notify the corporation by registered mail of the revocation of its permit.

### **Changes in the Corporate Structure**

1405. (1) A Professional Corporation shall notify the Executive Director in writing within 10 days of any change in its corporate structure, ownership or directors.

- (2) Upon receipt of a notice pursuant to subrule (1), the Executive Director may:
- (a) continue the permit;
  - (b) amend the permit to add or delete any terms or conditions; or
  - (c) revoke the permit.

### **Corporate Register**

1406. (1) The Executive Director shall maintain a corporate register containing the name and address of each Professional Corporation to which a permit is issued and the name and address of each Professional Corporation to which a permit is issued.

(2) The information contained in the corporate register shall be available to the public and the corporate register shall be open for inspection by the public at the Law Society Office during office hours.

### **Review of the Executive Director's Decision**

1407. (1) A decision by the Executive Director under this Part may be reviewed on the application of an aggrieved person by giving notice in writing to the Law Society that he/she wishes the matter reviewed by the Benchers.

(2) The Benchers may designate a review panel composed of Benchers to consider the application for review and report to the Benchers with recommendations.

(3) The application for review may state that the applicant wishes to appear personally before the Benchers and in such circumstance the applicant shall be given an opportunity to speak to the matter at the next Convocation of Benchers.

(4) The Executive Director shall advise the applicant in writing of the results of the review under this Rule.

### **Professional Responsibility of Members**

1408. All members who are directors of a Professional Corporation are responsible for the activities of the corporation and may be subject to discipline for any breach of the Rules or *Code of Professional Conduct* by the Corporation.

[Rules 1400 – 1408 added September, 2001]

### **Limited Liability Partnerships (LLP)**

1450. A law firm which intends to apply to the Corporations Branch to be registered as an LLP shall forward to the Executive Director a copy of the proposed application, the prescribed fee under Schedule 1, and any other information necessary to process the application.

1451. The Executive Director shall, upon receiving the material mentioned in Rule 1450, review the status of each partner listed in the application and provide the law firm with a certificate in Form C-4 certifying that each proposed partner in the LLP is or is not entitled to practice law in Saskatchewan, and shall include any conditions or limitations on his or her practice.

1452. A law firm which is registered as an LLP in another jurisdiction which intends to apply to the Corporations Branch to be registered in Saskatchewan as an LLP shall forward to the Executive Director the prescribed fee under Schedule 1, a copy of the proposed application, and any other information the Executive Director may require to process the application.

1453. (1) The Executive Director, upon receiving the material mentioned in Rule 1452, shall review the application and if satisfied that:

- (a) the proposed LLP will engage only in the practice of law;



- (b) there are one or more partners in the proposed LLP who are eligible to practice law in Saskatchewan;
- (c) each member of the LLP who is eligible to practice law in Saskatchewan has professional liability insurance which is substantially equivalent to that provided by SLIA; and
- (d) the proposed LLP has made adequate arrangements to ensure that it will comply with Parts XIII and XIX of the Rules

he/she may provide a certificate in Form C-5 certifying that the proposed LLP and its Saskatchewan partners meet the eligibility requirements of *The Legal Profession Act (1990)* and the Law Society Rules.

1454. The Executive Director shall keep a register of all LLP's carrying on the practice of law in the Province of Saskatchewan, including the names and addresses of all partners, and any limitations on the practice of the LLP.

1455. Upon registration, an LLP shall immediately give notice to all its existing clients advising of its registration and explaining in general terms the potential changes in liability to the partners.

1456. An LLP shall report immediately any changes in its partnership to the Executive Director.

1457. All members of The Law Society of Saskatchewan who are partners in an LLP are responsible to ensure that the LLP, and any persons practicing through it, comply with *The Partnership Act*, *The Legal Profession Act (1990)* and the Rules of The Law Society of Saskatchewan.

[Rules 1450 – 1457 added May, 2001]

[next rule is Rule 1500]

## Part 18

### Contingent Fee Agreements

#### Definitions

1500. In this Part

“**contingent fee agreement**” means an agreement which provides that a member’s remuneration for services to be provided for or on behalf of a client is contingent, in whole or in part, on the successful disposition of the matter in respect of which the services are provided;

“**retainer agreement**” means an agreement which provides that a member is retained by a client to act on the client’s behalf for one or more matters or generally for a specified period of time for a fee paid by the client in advance of any services performed by the lawyer, but does not apply to money paid to a member in trust which is intended to be drawn upon to pay fees and disbursements in accordance with Part 13 of these Rules.

[Rule 1500 amended April 15, 1994]

#### Contents of Contingent Fee Agreements

1501. (1) Every contingent fee agreement entered into by a member shall be in writing.
- (2) A member who enters into a contingent fee agreement shall ensure that the agreement:
- (a) is fair and the member’s remuneration provided for in the agreement is reasonable, under the circumstances existing at the time the contract is entered into;
  - (b) states that any party to the agreement may apply to the Court under section 64(3) of the *Act* for a determination as to whether or not the agreement is fair and reasonable;
  - (c) does not purport to exclude the member’s liability for negligence;
  - (d) does not purport to require the member’s consent before a client’s cause may be abandoned, discontinued or settled; or
  - (e) does not purport to prevent the client from changing solicitors before the conclusion of the retainer.
- (3) Every contingent fee agreement shall be signed by each party to it, and the member shall deliver a copy of the agreement to each such party.

#### Prohibited Agreements

1502. A member shall not enter into a contingent fee agreement:
- (a) for services which relate to a child custody or access matter; or
  - (b) for services which relate to a matrimonial dispute, unless the form and content of the agreement have been approved by the Court.

#### Fees Payable under Contingent Fee Agreements

1503. A member who prepares a bill for fees earned and disbursements and other expenses charged under a contingent fee agreement shall ensure that the total remuneration payable to the member:

- (a) does not exceed the remuneration provided for in the agreement; and
- (b) regardless of the remuneration provided for in the agreement, is reasonable under the circumstances existing at the time the bill is prepared.

[Rule 1503 amended December 2, 2010]

#### Retainer Agreements

1504. (1) Every retainer agreement entered into by a member shall be in writing.
- (2) A member who enters into a retainer agreement shall ensure that the agreement:
- (a) specifies in clear and unequivocal language the term of the agreement, whether or not any further fees or disbursements will be charged, what specific matters if any are covered by the agreement;

- (b) does not mislead clients in any way with respect to the services covered by the agreement;
- (c) subject to subsection (3) below, specifies that money received by the member under the terms of the retainer agreement becomes the property of the member immediately upon receipt.

(3) A member may agree with the client as part of a retainer agreement that money paid to the member pursuant to the agreement will be repaid under specified circumstances.

[Rule 1504 amended April 15, 1994]

**Application of this Part**

1505. This Part applies only to agreements entered into on or after the date on which the individual sections come into effect.

[Rule 1505 added April 15, 1994]

[next rule is Rule 1600]

## Part 19

### Marketing of Legal Services

#### Definitions

1600. In this Part,

**“advertisement”** means the use of paid space or time in a public medium or the use of a publication such as a brochure or handbill regardless of whether the member or firm contributes any money or services to the cost of the publication, production or distribution, to communicate with the general public or a segment thereof, for the purpose of promoting professional services or enhancing the image of the member or firm.

**“interjurisdictional law firm”** means a sole proprietorship, partnership or any other arrangement to carry on the business of the practice of law together, in which:

- (a) the firm carries on the practice of law in Saskatchewan and in one or more other Canadian or foreign jurisdictions; and
- (b) not all the lawyers in an office of the firm outside of Saskatchewan are members of the Society;

**“marketing activity”** includes:

- (a) an advertisement;
- (b) any publication or communication in any medium with any client, prospective client or the public generally in the nature of an advertisement, promotional activity or material, a listing in a legal directory, a public appearance or any other means by which professional legal services are promoted; and
- (c) contact with a prospective client initiated by a member.

**“weakened state”** means a physical, emotional or mental condition which may render a prospective client unduly vulnerable to persuasion or importuning by a lawyer and shall, without limiting the generality of the foregoing, be deemed to include the state of any prospective client who is an alleged victim of physical and/or sexual abuse.

[Rule 1600 “advertisement” amended December 9, 1993]

[Rule 1600 “weakened state” added June 10, 1999]

#### General Principles

1601. (1) Subject to these Rules, a member may initiate contact with a potential client.

(2) Any marketing activity undertaken or authorized by a member must not be:

- (a) false;
- (b) inaccurate;
- (c) reasonably capable of misleading the recipient or intended recipient; or
- (d) undignified, in bad taste, offensive or otherwise inimical to the best interests of the public or the members, or tending to harm the standing of the legal profession.

[Rule amended February 5, 2001]

[Heading for Rule 1601 and 1601(2) amended June 24, 2011]

#### Specific Prohibitions

1602. A marketing activity violates subrule 1601(2) if it:

- (a) is calculated or likely to take advantage of the weakened state, either physical or emotional, of the recipient;
- (b) is likely to create in the mind of the recipient or intended recipient an unjustified expectation about the results which the member may achieve;
- (c) implies that the member can obtain results:
  - (i) not achievable by other members;
  - (ii) by improperly influencing a court or other public body or official; or
  - (iii) by any other improper means;
- (d) compares either directly, indirectly or by innuendo, the member’s services or ability with that of any other member; or

- (e) shows the member as being associated in the practice of law with:
  - (i) a judge, Attorney General, Minister of Justice, master, registrar or local registrar, sheriff, deputy sheriff, registrar or deputy registrar of land titles or other officer or official; or
  - (ii) a person other than:
    - (A) a member of the Society; or
    - (B) a member of an interjurisdictional law firm.

1602.1 (1) No member shall initiate contact with a prospective client who is in a weakened state for the purpose of soliciting the prospective client's legal work except by mail or advertisement. A member shall be allowed to attend any meetings arranged by a non-member or non-members to provide information to a group of such prospective clients, but may only attend by invitation from the prospective clients or persons arranging the meeting not connected to the member.

(2) Any correspondence, brochure or informational package sent to or intended to be provided to prospective clients shall state in bold letters at the bottom of every page "Advertising material. This is a commercial solicitation".

(3) Any correspondence sent to a named prospective client in physical and sexual abuse cases must be marked personal and confidential and state how the member obtained the identity of the prospective client.

(4) Draft fee agreements may be included in marketing materials sent to prospective clients but must be marked "Draft Only. Do not sign". Fee agreements may only be entered into after there has been a meeting between lawyer and client.

[Rule 1602.1 added June 10, 1999]

### **Public Representations**

1603. A member shall not:
- (a) comment publicly on the probable outcome of a legal proceeding in which he or she acts;
  - (b) in the endorsement or promotion of any property, investment or service for sale to the public, trade on his or her professional status or reputation resulting from membership in the Society; or
  - (c) state publicly that he or she speaks on behalf of the legal profession unless the member has been expressly authorized to state the official position of the legal profession.

### **Disclosure of Client's Identity**

1604. A member shall not, in any marketing activity, disclose a present or former client's identity unless:
- (a) the member is satisfied that disclosure is not contrary to the client's interest; and
  - (b) the client expressly or impliedly consents to the disclosure.

### **Former Judges and Members of Administrative Tribunals**

1605. (1) A member who was formerly a judge shall not:
- (a) continue to use the title "Judge" or any similar title which alludes to his or her former judicial status; and
  - (b) shall not trade on his or her former judicial status.
- (2) A member who formerly served in an adjudicative capacity on an administrative tribunal shall not:
- (a) continue to use any title which alludes to his or her former status on the tribunal; and
  - (b) shall not trade on his or her former status as a member of the tribunal.

### **Firm Name**

1606. A member shall not use a firm name which violates subrule 1601(2)(c) or (d).

## Letterhead

1607. A member shall not, on his or her firm's letterhead or in any other marketing activity, list a person who is not an active member of the Society in good standing, except where that person:

- (a) is appropriately designated as:
  - (i) an inactive member;
  - (ii) a retired member;
  - (iii) a deceased member;
  - (iv) a student-at-law; or
  - (v) a foreign legal consultant; or
- (b) is a member of an interjurisdictional law firm.

[Rule 1607 amended March 27, 1992 and December 6, 1996]

1607.1 Notwithstanding any other rule, a member who has been suspended pursuant to section 45, section 52 or section 55 of *The Legal Profession Act, 1990*, or pursuant to Rule 420 or Rule 470, shall not be listed on any firm's letterhead or in any other marketing activity unless the suspension is for a period of less than 30 days.

[Rule 1607.1 added June 5, 1997]

## Interjurisdictional Law Firms

1608. A member of the Society who is a member of an interjurisdictional law firm shall ensure that, whenever the firm on its letterhead or in any other marketing activity enumerates the members of the firm, he or she is identified as being qualified to practise law in Saskatchewan.

## Law Firms with Multiple Offices

1609. A law firm having multiple offices which enumerates on its letterhead or in any other marketing activity the members of the firm must show the office in which each enumerated member principally practises.

## Referral Fees

1610. (1) A member shall not:

- (a) pay any remuneration to a person, other than a member of the Society in good standing, in exchange for that person referring a client to the member; or
- (b) act for a client where, to the member's knowledge, a person other than a member of the Society in good standing was paid any remuneration by the client in exchange for being referred to the member.

(2) A member acting for a client who was referred to the member by another member may pay that other member remuneration for the referral only if, at the commencement of the retainer, the member fully discloses the remuneration to the client and the client consents in writing to its payment.

## Fees

1611. (1) A member who, in any advertisement, includes a statement of fees for a specific legal service or an hourly rate of charge:

- (a) shall, in the case of a statement of fees for a specified legal service, ensure that the statement sufficiently describes the fees and services so as to enable the recipient or intended recipient to understand the nature and extent of the work to be performed and the cost to the client; and that the statement clearly specifies whether or not disbursements are included in that cost;
- (b) during the currency of the advertisement shall agree to perform the services at the stated fee or rate for any person unless excused by circumstances such as conflict with the interests of another client or other reasonable and proper grounds; and
- (c) shall not in the advertisement compare the fees or rate charged by the member with the fees or rate charged by another member.

(2) Unless otherwise stated in the advertisement, the currency of a fee advertisement shall be deemed to be 90 days after the date of publication.

### **Preferred Areas of Practice**

1612. (1) A member shall not state in any marketing activity a preference for practice in any one or more fields of law unless he or she provides a statutory declaration not less than annually to the Executive Director which indicates that the member:

- (a) has been engaged in the practice of law for at least 3 years;
- (b) regularly practises in each field of law in respect of which he or she wishes to state a preference; and
- (c) has, during the most recent 3 year period that the member has practised, devoted at least 20% of his or her time to practising in each field of law in respect of which the member wishes to state a preference.

(2) A member who does not qualify to state a preferred area of practice under subrule (1) may, if it is accurate, state a preference for general practice.

[Rule 1612 amended December 6, 1996]

[Rule 1613 Lawyer Referral Service deleted December 7, 2007]

### **Restrictions on Practice**

1614. A member who restricts his or her practice may, upon delivering an annual written undertaking to the Executive Director, state in any marketing activity the fields of law to which the practice is restricted.

### **Specialization**

1615. (1) Subject to subrule (2) and (3), a member:

- (a) shall not use the title "specialist", "expert", "leader" or any similar designation suggesting a recognized special status or accreditation on any letterhead or business card or in any other marketing activity; and
- (b) shall take all reasonable steps to discourage use, in relation to the member by another person, of the title "specialist", "expert", "leader" or any similar designation suggesting a recognized special status or accreditation in any marketing activity.

(2) A member who is approved as a mediator under Part 9 of these Rules may so state in any marketing activity.

(3) Notwithstanding subrule (1), a member or a law firm may be identified as a leading practitioner or law firm in any publication which relies on input from independent parties and is approved by the Ethics Committee and a member or a law firm may be listed under the category of legal ratings in the Martindale Hubbell publication.

[Rule 1615(3) added April 22, 1999]

### **Sharing Premises with Non-Lawyers**

1616. A member may share premises, facilities and staff with a person who is not a member of the Society, provided that:

- (a) the non-member's reputation or activities do not jeopardize the integrity of the profession;
- (b) the business of the member and the non-member are kept entirely separate; and
- (c) clients of the member are not confused as to the person with whom they are dealing.

### **Carrying on Another Business or Occupation**

1617. A member shall not carry on any business or occupation other than the practice of law in such a way that:

- (a) a person might reasonably:
  - (i) find it difficult to determine whether in any matter the member is acting in his or her capacity as a member; or

- (ii) expect that in carrying on the other business or occupation, the member will exercise professional legal judgment or skill for the protection of that person; and
- (b) there is a significant risk that the interests of the member and of a client may, in a matter in which the member acts for the client, conflict.

### **Member's Duties**

1618. (1) A member shall retain for one year after delivery, publication or broadcast of any marketing activity, advertisement or brochure, and shall provide to the Executive Director on request:

- (a) a copy of any publication;
- (b) a recording of any broadcast made by use of any electronic media, including radio, television and microwave transmission;
- (c) a written record of when and where the publication or broadcast was made; and
- (d) a copy of any other marketing activity.

(2) It is the duty of any member, when called upon by the Society to do so, to verify the statements made in his or her marketing activity.

[Rule amended February 5, 2001]

### **Violation of Marketing Provisions**

1619. (1) Members whose marketing activities are in violation of Rules 1607, 1612 and 1615(1)(a) may elect to:

- (a) pay a fine of \$500 for each publication; or
- (b) have the matter referred to the Chairperson of the Discipline Committee to determine if hearing as to whether the member is guilty of conduct unbecoming a lawyer is required.

(2) Notwithstanding subrule (1), the Executive Director may, in his or her discretion, disallow the payment option and refer the matter to the Chairperson of the Discipline Committee.

[Rule 1619 added December 6, 1996]

### **Collaborative Law**

1620. A lawyer may not, in any marketing activity, describe him or herself as being qualified to practice collaborative law unless he or she has successfully completed a course approved by the Admissions & Education Committee.

[Rule 1620 added April, 2003]

[next rule is Rule 1650]



## Part 19A

### Prepaid Legal Services

#### Definitions

1650. In this Part,  
 “**plan**” means an agreement or arrangement whereby a lawyer agrees to provide legal services to a plan member according to the terms of the plan.  
 “**plan sponsor**” means any person or persons including trade unions, associations, corporations, etc.  
 “**plan member**” means any person who is eligible to receive legal services from a lawyer by virtue of and pursuant to the terms of a plan.

#### No Participation Fee

1651. No lawyer may participate in a plan which requires that the lawyer provide any fee or consideration of any kind directly or indirectly to the plan sponsor as a condition of the lawyer's participation in the plan.

#### Agreement with the Plan Sponsor

1652. Prior to participating in a plan, every lawyer shall execute with the plan sponsor a written agreement containing the following provisions or their equivalent:

- (a) a stated recognition by the plan sponsor that there is no solicitor/client relationship between the plan sponsor and the lawyer. The plan member, in all cases, is the client; and

Agreement that:

- (b) after referral by the plan sponsor of a plan member to a lawyer, the plan sponsor shall not communicate with the plan member concerning the matters upon which the plan member is seeking legal advice;
- (c) the plan sponsor shall not purport to direct the lawyer with respect to the conduct of the plan member's affairs or in any way attempt to influence the plan member or the lawyer, respecting legal matters. Specifically, and without limiting the generality of the foregoing, monies paid into trust by or on behalf of a client are not subject to direction by the plan sponsor;
- (d) all information received by the lawyer in the course of his or her representation of a plan member shall be confidential and, subject to (e) below, shall not be communicated to the plan sponsor;
- (e) the lawyer may release information to the plan sponsor which, in the opinion of the lawyer, is necessary for the purposes of billing or paying of fees or for statistical purposes, upon execution by the plan member of a written authorization for such release. It shall not be a requirement of participation in the plan by any plan member that any information other than the above shall be released to the plan sponsor;
- (f) the lawyer may withdraw from representation of the plan member where it is appropriate to do so having regard to *The Code of Professional Conduct* of the Law Society of Saskatchewan;
- (g) any complaints against a lawyer involving professional conduct by either the plan member or the plan sponsor will be referred to the Law Society of Saskatchewan;
- (h) in case of any dispute with respect to a lawyer's fees, the taxation provisions of *The Legal Profession Act, 1990* are available in all cases.

#### Duties Regarding Conflicts of Interest

1653. A lawyer shall not participate in a plan which interferes with the lawyer's duties and obligations with respect to conflicts of interest as defined by *The Code of Professional Conduct* of the Law Society of Saskatchewan.

**Duties Regarding Plan's Advertising**

1654. A lawyer may only participate in the plan if the plan's advertising and promotional material conforms to the Law Society's advertising Rules and *The Code of Professional Conduct*.

**Duties Regarding Unauthorized Practice**

1655. A lawyer shall not participate in a plan which attempts to limit his or her duty to report unauthorized practice to the Law Society of Saskatchewan.

**Acceptance of Responsibilities**

1656. A lawyer shall ensure that every plan sponsor is aware of and accepts the lawyer's responsibilities pursuant to *The Code of Professional Conduct* of the Law Society of Saskatchewan and the Rules relating to prepaid legal service plans.

**Prohibition**

1657. A lawyer shall not participate in a plan which attempts to circumvent any of the provisions of this Part.

[Rule 1650 to Rule 1657 added January 28, 1994 effective April 15, 1994]

[next rule is Rule 1700]

## **Part 20**

### **Institution of Proceedings**

#### **Summary Offences**

1700. The Executive Director, or any other person authorized by the Executive Committee in a specific case, may act as informant in proceedings instituted under the *Summary Offences Procedure Act*.

#### **Injunction**

1701. The Executive Director, or any other person authorized by the Executive Committee in a specific case, may authorize the initiation of proceedings for an injunction under section 82 of the *Act*.

[next rule is Rule 1800]

## Part 21

### Withdrawal from Practice

#### Disposition of Files, Trust Monies and Other Documents and Valuables

1800. (1) Subject to subrule (4), a member who intends to withdraw from the practice of law in Saskatchewan shall, before the withdrawal occurs, advise the Executive Director in writing of his or her intended disposition of all:

- (a) open and closed files;
- (b) wills and wills indices;
- (c) titles and other important documents and records;
- (d) other valuables; and
- (e) trust accounts and trust funds

which relate to the member's practice and are within the member's possession or power.

(2) Subject to subrule (4), a member who has withdrawn from the practice of law in Saskatchewan shall, within 3 months after the withdrawal occurs, confirm to the Executive Director in writing that:

- (a) the documents and property referred to in subrule 1(a) to (d) have been disposed of, and any way in which the disposition differs from that reported under subrule (1); and
- (b) all trust accounts referred to in subrule (1)(e) have been closed and that:
  - (i) all the balances have been:
    - (A) remitted to the clients or other persons on whose behalf they were held; or
    - (B) transferred to another member with written instructions concerning the conditions attaching to them; and
  - (ii) any interest earned on a mixed trust account has been remitted to the Law Foundation in accordance with Part 13 of these Rules.

(3) The Executive Director may, upon application in writing by the member or former member, extend the time limit referred to in subrule (2).

(4) A member who withdraws from a law firm in circumstances where the firm will continue in existence and will continue to have possession and power over the documents, property and accounts described in subrule (1), is not required to comply with subrule (1) or (2).

[next rule is Rule 1900]

## **Part 22**

### **Repeal and Commencement of Rules**

#### **Repeal of Former Rules and Bylaws**

1900. The Law Society Rules and Bylaws which were in effect immediately before the *Act* comes into force are repealed as of the date on which the *Act* comes into force.

#### **Commencement of these Rules**

1901. These Rules come into effect on the day on which the *Act* comes into force.

#### **Transitional**

1902. (1) Rules 17, 19 and 21(1) of these Rules do not apply to the 1991 election of Benchers.

(2) For the purposes of the 1991 election of Benchers, the words "Rule 21" in Rule 23 of these Rules shall be interpreted to mean "The Rules of the Law Society of Saskatchewan which were in effect immediately prior to October 1, 1991".

#### **Waiver of Rule**

1903. The Benchers may, by a decision of 2/3 of the Benchers present and entitled to vote, vary, waive or suspend any Rule other than subrule 92(3) or subrule 470(6).

[Rule 1903 amended April 22, 1999]

## **Schedule 2**

1. Electoral Divisions – See Rule 15(2)

### **REGINA CITY ELECTORAL DIVISION**

That part of the Province of Saskatchewan from time to time comprising of the City of Regina.

### **SOUTH EAST ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at intersection of the north boundary of township eighteen and the east boundary of the province; thence southerly along the east boundary of the province to the south boundary of the province; thence westerly along the south boundary of the province to the dividing line between ranges twenty and twenty-one, west of the second meridian; thence northerly along the said dividing line between ranges twenty and twenty-one to the north boundary of township eighteen; thence easterly along the north boundary of township eighteen to the point of commencement. Excluding that part from time to time comprising of the City of Regina.

### **EAST CENTRAL ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at the intersection of the east boundary of the province and the north boundary of township eighteen; thence westerly along the north boundary of township eighteen to the dividing line between ranges twenty and twenty-one, west of the second meridian; thence northerly along the said dividing line between ranges twenty and twenty-one to the north boundary of township thirty-five; thence easterly along the north boundary of township thirty-five to the east boundary of the province; thence southerly along the east boundary of the province to the point of commencement.

### **CENTRAL ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at the intersection of the dividing line between ranges twenty and twenty-one, west of the second meridian and the south boundary of the province; thence westerly along the south boundary of the province to the dividing line between ranges five and six, west of the third meridian; thence northerly along the said dividing line between ranges five and six to the north boundary of township thirty-five; thence easterly along the north boundary of township thirty-five to the dividing line between ranges twenty and twenty-one, west of the second meridian; thence southerly along the said dividing line between ranges twenty and twenty-one to the point of commencement.

### **SOUTH WEST ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at the intersection of the dividing line between ranges five and six, west of the third meridian and the south boundary of the province; thence westerly along the south boundary of the province to the west boundary of the province; thence northerly along the west boundary of the province to the north boundary of the township thirty-six; thence easterly along the north boundary of township thirty-six to the dividing line between ranges six and seven, west of the third meridian; thence southerly along the said dividing line between ranges six and seven to the north boundary of township thirty-five; thence easterly along the north boundary of township thirty-five to the dividing line between ranges five and six, west of the third meridian; thence southerly along the said dividing line between ranges five and six to the point of commencement.

### **NORTH EAST ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at the intersection of the east boundary of the province and the north boundary of township thirty-five; thence westerly along the north boundary of township thirty-five to the dividing line between ranges six and seven, west of the third meridian; thence northerly along the said dividing line between ranges six and seven to the north boundary of township fifty-seven; thence easterly along the north boundary of township fifty-seven to the west boundary of Prince Albert National Park; thence northerly and easterly along the west and north boundaries of Prince Albert National Park to the meridian through the one hundred and sixth degree of West longitude; thence northerly along the said meridian of longitude to the north boundary of the province; thence easterly along the north boundary of the province to the east boundary of the province; thence southerly along the east boundary of the province to the point of commencement. Excluding those parts from time to time comprising of the City of Saskatoon and the City of Prince Albert.

### **SASKATOON CITY ELECTORAL DIVISION**

That part of the Province of Saskatchewan from time to time comprising of the City of Saskatoon.

### **PRINCE ALBERT CITY ELECTORAL DIVISION**

That part of the Province of Saskatchewan from time to time comprising of the City of Prince Albert.

### **NORTH WEST ELECTORAL DIVISION**

That part of the Province of Saskatchewan that is bounded as follows: commencing at the intersection of the dividing line between ranges six and seven, west of the third meridian and the north boundary of township thirty-six; thence westerly along the north boundary of township thirty-six to the west boundary of the province; thence northerly along the west boundary of the province to the north boundary of the province; thence easterly along the north boundary of the province to the meridian through the one hundred and sixth degree of west longitude; thence southerly along the said meridian of longitude to the north boundary of Prince Albert National Park; thence westerly and southerly along the north and west boundaries of Prince Albert National Park to the north boundary of township fifty-seven; thence westerly along the north boundary of township fifty-seven to the dividing line between ranges six and seven, west of the third meridian; thence southerly along the said dividing line between ranges six and seven to the point of commencement.

# LAW SOCIETY FORMS

Name of Form	Rule No.	Form No.
Application for Admission as Student-at-Law	150	A-1
Articles of Clerkship Agreement	156	A-2
Certificate of Character	150 & 171	A-3
Assignment of Articles Agreement	158	A-4
Application for Exemption from Professional Liability Claims Fund Assessment	605	A-5
Application for Admission as a Lawyer by a Student-at-Law Member of the Society	171	A-8
Affidavit of Lawyer or Supervisory Judge with whom Student has Served under Articles	171	A-9
Application for Admission by Lawyer from other Provinces of Canada or Application for Admission as Canadian Legal Advisor	171(2) & 260	A-11
Application for Admission by Law Professor	172	A-12
Oath of Office	181	A-14
Application for an Interjurisdictional Practice Permit	196	A-15
Application for Permit to Act as Foreign Legal Consultant	220	A-16
Application for a Professional Corporation Permit	1402	C-1
Permit for a Professional Corporation	1402	C-2
Application for Renewal of Permit	1403	C-3
Certificate of Entitlement to Practice Law in Saskatchewan as a Limited Liability Partnership	1451	C-4
Certificate of Entitlement to Practice Law in Saskatchewan as an Extra-Provincial Limited Liability Partnership	1453	C-5
Application to Change Membership Status	210	P-1A
Application for Reinstatement (long form)	211 & 212	P-2
Application for Reinstatement (short form)	211 & 212	P-3
Member's Commencement Report	1201	P-5

\* For copies of all Trust Account forms, please refer to the Law Society Website.



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**LAW SOCIETY OF SASKATCHEWAN**  
**APPLICATION FOR**  
**AN INTERJURISDICTIONAL PRACTICE PERMIT**  
**RULE 196**  
**FORM A-15**

(Amended January, 2007)  
(Amended February, 2008)  
(Amended February 2009)  
(Amended November 2011)

I, \_\_\_\_\_ of the \_\_\_\_\_  
(name in full) (city/town)

in the Province/State of \_\_\_\_\_,

a member of \_\_\_\_\_  
(name of Law Society)

hereby request approval to practice in Saskatchewan pursuant to the Rules of the Law Society of Saskatchewan:

- 1) for 100 days; or
- 2) in the matter of:

\_\_\_\_\_  
(name of case)

\_\_\_\_\_  
(particulars – Judicial Centre etc.)

I enclose herewith:

- a) Certificate of Standing from: \_\_\_\_\_;
- b) Proof of professional liability insurance;
- c) Proof of defalcation coverage; and
- d) The interjurisdictional practice fees (GST #107604381).

I hereby undertake not to practice in Saskatchewan beyond the permission granted hereunder.

I hereby undertake to be bound by the provisions of *The Legal Profession Act, 1990*, the Rules of the Law Society and *The Code of Professional Conduct*.

To the Law Society of Saskatchewan

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

**APPLICANT'S QUESTIONNAIRE**

The Applicant's Questionnaire must be completed legibly.

All questions must be answered fully and precisely and the answers sworn to before a Notary Public or Commissioner for Oaths. Omissions or inaccuracies may be grounds for rejection. If the space for any answer is insufficient, the applicant may answer on an attachment to this form.

1) (a) Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Email: \_\_\_\_\_

(b) Date of Birth: \_\_\_\_\_

Place of Birth: \_\_\_\_\_

(c) What other names, if any, have you used:

\_\_\_\_\_

(d) Has your name ever been changed? Yes  No

(e) If so, from what to what; why and when?

\_\_\_\_\_

(f) Are you a Canadian citizen? Yes  No

(if not, you must provide proof of entitlement to work in Canada)

2) In which Law Societies or Barristers' Societies do you now hold full membership?

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

In which Law Societies or Barristers' Societies do you now hold honorary, non-practising, retired or other form of membership?

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

\_\_\_\_\_ Date of Call and Admission \_\_\_\_\_

3) On what date were you originally called to the Bar or admitted as a lawyer?

\_\_\_\_\_

Are you a Queen's Counsel? \_\_\_\_\_ Date of Appointment \_\_\_\_\_  
 Provincial or Federal? \_\_\_\_\_ If provincial, what province \_\_\_\_\_

- 4) Have you been actively engaged in the private practise of law since the date of your call and admission? Yes  No

If so, name of firm: \_\_\_\_\_

Address:

\_\_\_\_\_  
 \_\_\_\_\_

If self-employed, provide business address:

\_\_\_\_\_  
 \_\_\_\_\_

- 5) If you have not been actively engaged in the private practice of law, by whom have you been employed? \_\_\_\_\_

Address \_\_\_\_\_ Position: \_\_\_\_\_

Nature of Legal work performed:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

- 6) (a) Please report current charges, convictions or other dispositions, such as conditional discharges, absolute discharges or peace bonds for offences under the following:

- |   |     |                          |    |                          |
|---|-----|--------------------------|----|--------------------------|
| i) The <i>Criminal Code of Canada</i> ?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ii) The <i>Controlled Drugs and Substances Act</i> ?                                    | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| iii) Any <i>Securities Act</i> of any Province of Canada?                               | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| iv) Any <i>Income Tax Act</i> of Canada or any Province of Canada?                      | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| v) Any <i>Act</i> in relation to Bankruptcy?  | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| vi) The <i>Customs and Excise Act</i> ?   | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| vii) Any legislation in any jurisdiction where the offence is one involving dishonesty? | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

(If answered in the affirmative, give full details on a separate sheet)

(b) Are you currently a defendant in a civil action relating to fraud?  
 Yes  No

(c) Have you been found liable in a civil action relating to fraud?  
 Yes  No

(If answered in the affirmative, give full details on a separate sheet, including details of convictions)

7) Have you:

(a) been suspended, disqualified, censured, or had disciplinary action instituted against yourself, as a member of any profession? Yes  No

(b) been denied or revoked any license or permit, the procurement of which required proof of good moral character? Yes  No

(c) been placed in bankruptcy, made a general assignment for the benefit of creditors, been placed in receivership, been subject to a proposal, made an application for a consolidation order, or a petition for a receiving order under *The Bankruptcy Act*?  
 Yes  No

(d) at any time not obeyed any order of any court which required you to do or abstain from doing any act? Yes  No

(e) at any time been suspended or expelled from any post-secondary academic institution?  
 Yes  No

(If any of the above questions are answered affirmatively, give full details on a separate sheet.)

8) Are there presently any civil judgments outstanding against you? Yes  No

(If answered in the affirmative, give full details on a separate sheet.)

9) Are you prepared to swear or affirm to the oaths required to be sworn by lawyers as a condition to call and admission? Yes  No

10) Have you ever been refused admittance to a Law Society or other professional organization? Yes  No

If so, give full details:

---

11) Are you aware of any complaint or charge pending against you in your professional capacity which has not yet come to the attention of the Law Society, or other governing body, which might result in your being disbarred, struck off the rolls, suspended, reprimanded or otherwise disciplined or subject to competency proceedings or practice conditions? Yes  No

If so, give full details:

---

CANADA  
PROVINCE OF \_\_\_\_\_  
TO WIT:

I, \_\_\_\_\_, the Applicant in the above Application for Occasional Practice, DO SOLEMNLY DECLARE that the statements contained in my Application for Occasional Practice and Questionnaire are complete and true in every respect.

AND I make this solemn declaration conscientiously believing it to be true and knowing that it is of the same force and effect as if made under oath.

DECLARED before me at the \_\_\_\_\_ of  
\_\_\_\_\_ in the  
Province of \_\_\_\_\_  
this \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_\_.

\_\_\_\_\_  
(Signature of Applicant)

\_\_\_\_\_  
(Commissioner for Oaths or Notary Public)

The applicant is advised that the Law Society of Saskatchewan reserves the right to make such further and additional enquiries as may be considered necessary and to contact any references named herein for further details.

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**LAW SOCIETY OF SASKATCHEWAN  
APPLICATION TO CHANGE MEMBERSHIP STATUS**

**RULE 210  
FORM P-1A**

(February 2011)  
(October 2011)

This is an application to change membership status. Please indicate your current status:

(a) Active

(b) Inactive (non-practising)

Please indicate the membership status you wish to change to:

(a) Inactive (non-practising)  Rule 205.(1)

(b) Retired  Rule 206

(c) Resign  Rule 205.3

1) (a) Full Name: \_\_\_\_\_  
(b) Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Email: \_\_\_\_\_

2) Contact information after status change:  
Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Email: \_\_\_\_\_

3) Proposed date of status change: \_\_\_\_\_

4) Lawyer Regulation

(a) If there are any potential complaints, open complaints or investigations against you at the Law Society, please describe:

\_\_\_\_\_  
\_\_\_\_\_



- (b) Are you in arrears of payment to the Law Society or delinquent in filing any report, response or document required by the Law Society? If so, please describe:

---

---

5) Claims

Please describe any claims or potential claims that should be reported to your lawyers' professional liability insurance:

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6) Client Matters

- a) I am non-practicing and have no clients;

OR

- b) I am practicing outside of Saskatchewan under the jurisdiction of another Law Society;

OR

- c) I am an employee or partner in a firm or organization that will continue after my resignation to manage all client matters and trust accounts as follows:

---

OR

- d) I am a sole practitioner of a firm winding up:

i. Client Matters

All client matters have been completed

OR

Open client matters have been referred to:

---

ii. Documents and Records

Documents and records including wills are stored at:

---

OR

in the possession of: 

---

iii. Trust Accounts

I did not hold funds or property in trust

OR

All trust obligations have been transferred to:

---

---

I DO SOLEMNLY DECLARE that the statements contained in this form are complete and true in every respect.

AND I make this solemn declaration conscientiously believing it to be true and knowing that it is of the same force and effect as if made under oath.

DECLARED before me at the \_\_\_\_\_ of  
\_\_\_\_\_ in the  
Province of \_\_\_\_\_  
this \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_\_.

\_\_\_\_\_  
(Signature of Applicant)

\_\_\_\_\_  
A COMMISSIONER FOR OATHS or NOTARY PUBLIC in and  
for the Province of Saskatchewan.  
My Commission expires: \_\_\_\_\_  
(or) Being a solicitor.

The applicant is advised that the Law Society of Saskatchewan reserves the right to make such further and additional enquiries as may be considered necessary and to contact any references named herein for further details.

The applicant is also advised that former members may be disciplined by the Law Society of Saskatchewan.

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