

SCHEDULE I
FORM OF CERTIFICATE
(IN RESPECT OF AN ACCOUNTING PERIOD ENDING ON OR AFTER 1st
AUGUST 2006).

The Secretary
The Law Society of Scotland
26 Drumsheugh Gardens
Edinburgh EH3 7YR

Dear Sir

I/We confirm that, within the premises at (Note(a)),.....

.....
being the address at which I/we carry on practice as solicitor(s) that I/we have maintained the necessary books of account, bank passbooks, bank statements, deposit receipts including building society or local authority deposits, statements, deposit receipts and other accounting records required by the Solicitors (Scotland) Accounts etc. Rules 2001 for the accounting period from to and I/we certify subject to the points referred to under item 4 of additional matters noted overleaf:-

Note (b)

- 1) That the accounting records are up to date and balanced as at the last day of the accounting period, and
- 2) That the accounting records, to the best of my/our knowledge and belief, are in accordance with the terms of the Solicitors (Scotland) Accounts etc. Rules 2001, and
- 3) That all outstanding reconciling entries noted as at the balance dates disclosed overleaf under Rules 9 and 10 have been entered in the records or confirmed as correct, and
- 4) That the following Powers of Attorney were held by the undernoted or granted in favour of the undernoted during the accounting period:-

GRANTER	ATTORNEY	DATE GRANTED
and		

- 5) That during the said accounting period the Designated Cashroom Partner(s) in terms of Rule 12 of the Solicitors (Scotland) Accounts etc. Rules 2001 was/were as follows:-

NAME	DATE DESIGNATED	DATE DESIGNATION CEASED
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- 6) That during that time the Money Laundering Reporting Officer(s) in terms of Rule 24 of the Solicitors (Scotland) Accounts etc. Rules 2001 was/were as follows:-

NAME	DATE APPOINTED	DATE APPOINTMENT CEASED
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I solemnly and sincerely declare that the information given by me in this Certificate is true to the best of my knowledge and belief.

CURRENT DESIGNATED CASHROOM PARTNER

(FULL NAME).....

SIGNATURE.....DATE.....

SECOND SIGNATORY

(FULL NAME).....

SIGNATURE..... DATE.....

ADDITIONAL MATTERS

1. Client account reconciliations as at

Note (c)

(i) (a) Monies held on general client account £..... £.....

(b) Monies due to clients £..... £.....

(c) Surplus or deficit £..... £.....

(ii) (a) Funds held for named clients £..... £.....

(b) Monies due to named clients £..... £.....

(iii)(a) Loans for named clients £..... £.....

(b) Balances due by named clients £..... £.....

Note (d)

2. Firm's account balances

Due to the firm £..... £.....

Due by the firm £..... £.....

3. If the assistance of an external accountant was needed to prepare this Certificate, please indicate the scope of the assistance here. (If none, state NONE):-

Note (e)

4. Other matters which require to be reported:-(If no other matters, state NONE)

NOTES

(a) State addresses of all places of business of the solicitor or firm of solicitors in respect of whom the Certificate is granted.

(b) This balance is to be a balance of the whole books covering client and non-client accounts.

(c) These dates are those quarterly dates required to be reconciled under the terms of Rule 10.

(d) These balances should disclose bridging loans taken on behalf of named clients under Rule 20.

(e) It is anticipated that many solicitors will instruct an external accountant to assist them in the checking of the accounting records and/or the preparation of the Certificate in respect of investment business. If the services of an external accountant are required you should indicate the extent of the help offered. The following tasks are examples of the assistance which may be obtained from the accountant:-

1) The preparation of day books, ledgers and other records for client's or firm's accounting records; or

2) Reconciling the funds' position under Rules 9 and 10; or

3) Testing for compliance with aspects of the Accounts Rules as agreed per a letter of engagement; or

4) Balancing the client's or firm's accounting records; or

5) Conducting a review of compliance with all aspects of the Accounts Rules in support of the solicitor's certification of compliance with the Rules.