

Archive of Previous Delegations

September 2023

You can view the previous register of delegations dated 28 February 2018 by [clicking here](#). That register is now superseded.

The table below lists other superseded delegations made by the Council of the Law Society of New South Wales, prior to the issue of the new register of delegations on 27 September 2022. Click on the name of the delegation to see the corresponding instrument of delegation.

Date of delegation	Instrument / resolution
28 October 2019	1. Instrument of Delegation – Professional Standards – Director, Legal Regulation
16 January 2020	2. Delegation to the Management Committee of the Legal Practitioners Fidelity Fund (by Council Resolution)
27 February 2020	3. Instrument of Delegation – Licensing Committee
27 February 2020	4. Delegation to Company Secretary (by Council Resolution) – Forms and Notices
27 April 2020	5. Instrument of Delegation – Director, Legal Regulation and Chief Trust Account Investigator – External examiners
18 June 2020	6. Instrument of Delegation – Director, Licensing & Registry
18 June 2020	7. Delegation to Company Secretary and Director, Licensing & Registry (by Council Resolution) – Forms and Notices
7 October 2020	8. Instrument of Delegation – Investigations and Litigation Solicitors
7 October 2020	9. Instrument of Delegation – Deputy Director, Investigations
7 October 2020	10. Instrument of Delegation – Litigation Manager
7 October 2020	11. Instrument of Delegation – Director, Legal Regulation
7 October 2020	12. Instrument of Delegation – Professional Conduct Committee



7 October 2020	13. Instrument of Delegation – Team Leader, Investigation
27 September 2022	14. Instrument of delegation (excluding delegations of Fidelity Fund Management Committee)
19 January 2023	15. Delegations to the Fidelity Fund Management Committee
3 April 2023	16. Instrument of delegation (excluding delegations of Fidelity Fund Management Committee)



THE LAW SOCIETY
OF NEW SOUTH WALES

ATTACHMENT A

LEGAL PROFESSION UNIFORM LAW (NSW)

INSTRUMENT OF DELEGATION

PROFESSIONAL STANDARDS

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014* (NSW) (**Application Act**), the Law Society Council (**the Council**) delegates to the **DIRECTOR, LEGAL REGULATION OF THE LAW SOCIETY OF NEW SOUTH WALES** the following functions (including powers, authorities and duties):

Practising Certificates

1. To reject an application for renewal of a practising certificate made during the late fee period or made outside the standard renewal period or late fee period pursuant to section 37(3) of the Application Act;
2. To grant or renew an Australian practising certificate pursuant to sections 44 and 45 of the Legal Profession Uniform Law (NSW) (**Uniform Law**);
3. To reject a notification of principal place of practice pursuant to section 46(2) of the Uniform Law;
4. To determine conditions on a practising certificate pursuant to section 47 of the Uniform Law;
5. To impose discretionary conditions on a practising certificate pursuant to section 53 of the Uniform Law save and except for the power to impose discretionary conditions on a practising certificate in relation to conditions of the kind specified in rule 16(c) to (g) of the *Legal Profession Uniform General Rules 2015* (**Uniform General Rules**) ;
6. To alter a practising certificate or issue a substitute practising certificate to reflect a variation under the Uniform Law pursuant to section 55 of the Uniform Law;

Registration Certificates

7. To grant or renew an Australian registration certificate pursuant to section 62 of the Uniform Law;
8. To reject a notification of principal place of practice pursuant to section 63(2) of the Uniform Law;
9. To impose discretionary conditions on an Australian registration certificate pursuant to section 67 of the Uniform Law save and except for the power to impose discretionary conditions on a registration certificate in relation to conditions of the kind specified in rule 16 (c) to (g) of the Uniform General Rules;

Variation, suspension or cancellation of certificates

10. To vary a certificate for a formal or clerical reason or in another way that does not adversely affect the holder's interests pursuant to section 74(1) of the Uniform Law;
11. To vary, suspend or cancel a certificate at the request of or with the concurrence of the holder pursuant to section 74(2) of the Uniform Law;
12. To vary, suspend or cancel a certificate at the direction of the designated tribunal under s.302 pursuant to section 75 of the Uniform Law;
13. To form the belief that a practising certificate should be varied (amended), suspended or cancelled by the Council on a ground specified in section 82 of the Uniform Law and give the holder of the certificate notice under section 83 of the Uniform Law of the proposed action;

Show cause events

14. To issue a notice in relation to a designated show cause event pursuant to section 90 of the Uniform Law.
15. To receive a written statement of a show cause event pursuant to section 91 of the Uniform Law;
16. To determine to take no action pursuant to section 93 of the Uniform Law;

Giving Notices

17. To give notice pursuant to section 81 of the Uniform Law;
18. To give notice pursuant to section 83 of the Uniform Law;
19. To give notice pursuant to section 94(3) of the Uniform Law;
20. To give notice pursuant to section 95 of the Uniform Law;

Trust money and trust accounts

21. The power to receive written notices of irregularity referred to in section 154(2) of the Uniform Law;
22. The function under section 155 of the Uniform Law, if not satisfied that a law practice has had the law practice's trust records externally examined as required by section 155 of the Uniform Law or

that an external examination of the law practice's trust records has been carried out in accordance with the Uniform Rules, to appoint a suitably qualified person as an external examiner to examine the law practice's trust records;

23. The power to receive from an investigator the written report of an investigation referred to in section 165 of the Uniform Law;

Co-operative and other matters

24. To carry out the functions of the Council pursuant to section 437 of the Uniform Law.

Evidentiary and other matters

25. To issue a certificate pursuant to section 446 of the Uniform Law;

NOTES:

Change of title

1. The position title "Director, Professional Standards" has been changed to "Director, Legal Regulation".

Savings and transitional issues

2. If a position title (**the old position title**) is changed in name only to a different position title (**the new position title**), any function (including power, authority and/or duty) delegated and exercised by the holder of the old position title:
 - (a) is taken to be a function delegated and exercised by the holder of the new position title; and
 - (b) continues to be valid and apply as if it had been done by the holder of the new position title;for as long as that delegated function continues in effect or remains in force.
3. For the avoidance of doubt (and except where the contrary intention appears):
 - (a) Any action taken under the delegations made by the Council to the Director, Professional Standards pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014* (NSW) are taken to have been delegated to the [Director Legal Regulation](#).

EXTRACT

E.3 Fidelity Fund Management Committee – Membership and Delegation of Powers by Council

Following consideration –

RESOLVED

3. Pursuant to section 119(1) of the *Legal Profession Uniform Law Application Act 2014*, the Council delegates to the Management Committee of the Legal Practitioners Fidelity Fund as constituted from time to time the following functions of the Council in relation to the Fidelity Fund:-
 - (a) the functions contained in sections 118 and 122(2), (3) & (4) of the *Legal Profession Uniform Law Application Act 2014*;
 - (b) the functions contained in Part 4.5, Divisions 4,5,6 & 7 of the *Legal Profession Uniform Law (NSW)*, but excluding, in the case of claims made on or after 1 July 2015, section 240(1);
 - (c) the functions contained in Part 4.5 of the *Legal Profession Uniform General Rules 2015*; and
 - (d) to take any action incidental to any of the above functions which might be required for the management of the Fidelity Fund in accordance with Part 9 Divisions 1 & 2 of the *Legal Profession Uniform Law Application Act 2014*, Part 4.5 of the *Legal Profession Uniform Law (NSW)* and Part 4.5 of the *Legal Profession Uniform General Rules 2015*.

4. Claims against the Legal Practitioners Fidelity Fund are to be determined by the Management Committee of the Legal Practitioners Fidelity Fund independently, at arm's length from the legal profession.
5. Pursuant to section 119(1) of the *Legal Profession Uniform Law Application Act 2014* and s.426(1) of the *Legal Profession Act 2004* as applicable, the Council delegates to the Management Committee of the Legal Practitioners Fidelity Fund as constituted from time to time so much of the functions previously delegated by the Council to the Management Committee of the Legal Practitioners Fidelity Fund in paragraph numbered 3 of its resolution made on 15 January 2015 (attached) as are necessary to give effect to clauses 22(2) and 2(5) of Schedule 4 of the *Legal Profession Uniform Law (NSW)* to deal with claims in accordance with the *Legal Profession Act 2004*.
6. Pursuant to section 119(1) of the *Legal Profession Uniform Law Application Act 2014* and s.426(1) of the *Legal Profession Act 2004* and s.74(1) of the *Legal Profession Act 1987* as applicable, the Council delegates to the Management Committee of the Legal Practitioners Fidelity Fund as constituted from time to time so much of the functions previously delegated by the Council to the Management Committee of the Fidelity Fund in paragraph numbered 3 of its resolution made on 21 July 2005 (attached) as are necessary to deal with claims where there are rights under the *Legal Profession Act 1987* accrued by operation of the Interpretation Act.

EXTRACT

J.2 Fidelity Fund

J.2.1 2015 Fidelity Fund Management Committee – Membership and Delegation of Powers by Council

Following consideration -

RESOLVED

3. That pursuant to section 426(1) of the *Legal Profession Act 2004* (as amended) Council delegates to the Fidelity Fund Management Committee as now constituted its following functions in relation to the Fidelity Fund:
 - (a) pursuant to section 425 of Division 2 Part 3.4 of the *Legal Profession Act 2004* (as amended);
 - (b) pursuant to Part 3.4, Divisions 5,6,7,8,9 and 10 of the *Legal Profession Act 2004* (as amended) other than sections 456(1) and (4) and 457;
 - (c) subject to specific resolutions of Council in respect of any particular solicitor or law practice, to make payments from the Legal Practitioners Fidelity Fund pursuant to Part 3.4 s.456(1) of the *Legal Profession Act 2004* (as amended);
 - (d) to take any action incidental to any of the above functions which might be required for the management of the Fidelity Fund in accordance with Part 3.4 of the *Legal Profession Act*.

EXTRACT

F.2.1 *Fidelity Fund Management Committee – Membership and Delegation of Powers by Council*

Ms Siddons' memorandum dated 18 July was tabled and received. Councillor Eades outlined the reasons for seeking amendment of Council's delegation to the Fidelity Fund Management Committee. Following discussion -

RESOLVED that Council varies its resolution made on 20 January 2005 by removing paragraphs 3 and 4 and inserting the following instead:

- "3. That pursuant to section 74(1) of the *Legal Profession Act 1987* (as amended) Council delegates to the Fidelity Fund Management Committee as now constituted its following functions in relation to the Fidelity Fund:
- (a) pursuant to section 73(1) of Part 7 of Division 1 of the *Legal Profession Act 1987* (as amended);
 - (b) pursuant to Part 7, Division 3 of the *Legal Profession Act 1987* (as amended) other than sections 89(2) and (3) and 90;
 - (c) subject to specific resolutions of Council in respect of any particular solicitor or firm, to make payments from the Solicitors' Fidelity Fund pursuant to Part 7 s.89(2) of the *Legal Profession Act 1987* (as amended);
 - (d) to make payments from the Solicitors' Fidelity Fund pursuant to Part 7 s.90 of the *Legal Profession Act 1987* (as amended);
 - (e) to take any action incidental to any of the above functions which might be required for the management of the Fidelity Fund in accordance with Part 7 of the *Legal Profession Act*."

INSTRUMENT OF DELEGATION LICENSING COMMITTEE

Terms used in the *Legal Profession Uniform Law* (NSW) (**Uniform Law**) or in the *Legal Profession Uniform Law Application Act 2014* (NSW) (**Application Act**) have the same meanings in this Instrument as they have in those laws.

Pursuant to section 32 of the Application Act, the Council of The Law Society of New South Wales (**Law Society Council**) being the relevant designated local regulatory authority, hereby delegates to the **Licensing Committee** of The Law Society of New South Wales the following Chapter 3 functions of the Uniform Law set out below (including those powers, authorities and duties that are necessary or convenient for carrying out or giving effect to those functions).

LEGAL PROFESSION UNIFORM LAW (NSW)

Chapter 3 – Legal Practice

Part 3.3 – Australian legal practitioners

All functions except functions under:

- Section 53 – imposing discretionary conditions, in relation to conditions of the kind specified in Rules 16(e) to (g) of the *Legal Profession Uniform General Rules 2015*.

Part 3.4 – Foreign lawyers

All functions except functions under:

- Section 62(4) – refusing to grant or renew an Australian registration certificate on any ground specified in the Uniform Rules for the purposes of this section.
- Section 67 – imposing discretionary conditions, in relation to conditions of the kind specified in Rules 16(e) to (g) of the *Legal Profession Uniform General Rules 2015*.

Part 3.5 – Variation, suspension or cancellation of certificates

Division 2 – Variation, suspension or cancellation of certificates

All functions except functions under:

- Section 77 – immediate variation or suspension before or during consideration of proposed action
- Section 78 – lifting of suspension and renewal during suspension

Division 3 – Variation, suspension or cancellation on specific grounds

DIRECTION

The Law Society Council issues a direction under section 408 of the Uniform Law as follows in respect of the exercise of functions delegated to the Licensing Committee:

If the Licensing Committee determines that, in its opinion, a practising certificate or registration certificate should be refused, suspended or cancelled, it shall refer the matter to the Law Society Council with its recommendation.

Note Section 49(3) of the *Interpretation Act 1987* (NSW) provides that a delegated function may be exercised only in accordance with any conditions to which the delegation is subject.

Note Section 49(4) of the *Interpretation Act 1987* (NSW) provides that a delegate may, in the exercise of a delegated function, exercise any other function that is incidental to the delegated function.

.....

Richard Harvey

President

Signed with the authority of the Law Society Council

EXTRACT

E.5 Delegations of functions of Council to Company Secretary and Head of Licensing & Scheme under the Legal Profession Uniform Law Application Act 2014

The memorandum from Ms Terrie Gibson, Head of Licensing & Scheme, dated 21 February 2020, as circulated, was noted.

Following consideration –

RESOLVED –

That, pursuant to section 32 of the Legal Profession Uniform Law Application Act 2014 (the **Application Act**), Council delegates to the Company Secretary of The Law Society of New South Wales and the Head of Licensing & Scheme its authority to approve forms under section 162 of the Application Act and under section 473 of the Legal Profession Uniform Law (NSW) (the **Uniform Law**) and its authority to approve and issue notices that may be, or are required to be, issued for use in connection with its functions under the legal profession legislation (as defined in section 3A of the Application Act).

Attachment A

**INSTRUMENT OF DELEGATION
DIRECTOR, LEGAL REGULATION, AND
CHIEF TRUST ACCOUNT INVESTIGATOR**

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law* (NSW) (**Uniform Law**), the *Legal Profession Uniform General Rules 2015* or in the *Legal Profession Uniform Law Application Act 2014* (NSW) (**Application Act**) have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014*, the Council of the Law Society (**Law Society Council**) hereby delegates to the persons for the time being holding, acting in, or performing the duties of the positions of:

- (1) **Director, Legal Regulation;**
- (2) **Chief Trust Account Investigator,**

being employees of the Law Society of New South Wales, the following functions of the *Legal Profession Uniform Law* (NSW) contained in the provision set out below

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions contained in the provision set out below, as amended from time to time.

LEGAL PROFESSION UNIFORM GENERAL RULES 2015

- Rule 65A Revocation of eligibility for appointment as external examiner

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 18 JUNE 2020 DIRECTOR, LICENSING & REGISTRY

Terms used in the *Legal Profession Uniform Law* (NSW) (**Uniform Law**) or in the *Legal Profession Uniform Law Application Act 2014* (NSW) (**Application Act**) have the same meanings in this Instrument as they have in those laws.

Pursuant to section 32 of the Application Act, the Council of The Law Society of New South Wales (**Law Society Council**), being the relevant designated local regulatory authority, hereby delegates to the person for the time being holding the position of, acting in, or performing the duties of, the **Director, Licensing & Registry**, being an employee, member of staff or officer of The Law Society of New South Wales (**Law Society**), the following Part 4 and Part 12 functions of the Application Act and those Chapter 3, Chapter 4 and Chapter 9 functions of the Uniform Law set out below (including those powers, authorities and duties that are necessary or convenient for carrying out or giving effect to those functions of the Application Act or of the Uniform Law).

LEGAL PROFESSION UNIFORM LAW APPLICATION ACT 2014

Part 4 – Practising certificates and registration certificates

Division 1 – Australian practising certificates

- Section 37(3)
- Section 38(3)
- Section 39(2)
- Section 40

Division 2 – Australian registration certificates

- Section 42(4)

Part 12 – Registers and publicising disciplinary action

- Section 149(1)
- Section 149(2)
- Section 149(6)
- Section 149(7)
- Section 150(1)
- Section 150(2)
- Section 150(5)

LEGAL PROFESSION UNIFORM LAW (NSW)

Chapter 3 – Legal Practice

Part 3.3 – Australian legal practitioners

All functions except functions under:

- Section 53 – imposing discretionary conditions, in relation to conditions of the kind specified in Rules 16(e) to (g) of the *Legal Profession Uniform General Rules 2015*.

Part 3.4 – Foreign lawyers

All functions except functions under:

- Section 62(4) – refusing to grant or renew an Australian registration certificate on any ground specified in the Uniform Rules for the purposes of this section.
- Section 67 – imposing discretionary conditions, in relation to conditions of the kind specified in Rules 16(e) to (g) of the *Legal Profession Uniform General Rules 2015*.

Part 3.5 – Variation, suspension or cancellation of certificates

Division 2 – Variation, suspension or cancellation of certificates

All functions except functions under:

- Section 76 – variation, suspension or cancellation under Division 3 or 4
- Section 77 – immediate variation or suspension before or during consideration of proposed action
- Section 78 – lifting of suspension and renewal during suspension

Chapter 4 – Business practice and professional conduct

Part 4.4 – Professional indemnity insurance

- Section 215(2)
- Section 215(4)
- Section 215(6)

Chapter 9 – Miscellaneous

Part 9.4 – Cooperative and other arrangements

Part 9.5 – Notices and evidentiary matters

Note Section 49(3) of the *Interpretation Act 1987* (NSW) provides that a delegated function may be exercised only in accordance with any conditions to which the delegation is subject.

Note Section 49(4) of the *Interpretation Act 1987* (NSW) provides that a delegate may, in the exercise of a delegated function, exercise any other function that is incidental to the delegated function.

.....

Richard Harvey

President

Signed with the authority of the Law Society Council

EXTRACT

E.2 Update of Delegations on change of title of Head of Licensing & Scheme

Following consideration –

RESOLVED:

3. **THAT**, pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014* (the **Application Act**), the Council of The Law Society of New South Wales (**Law Society**) delegates to the Company Secretary of the Law Society and the Director, Licensing & Registry, its authority to approve forms under section 162 of the Application Act and under section 473 of the *Legal Profession Uniform Law (NSW)* and its authority to approve and issue notices that may be, or are required to be, issued for use in connection with its functions under the *legal profession legislation* (as defined in section 3A of the Application Act).

INSTRUMENT OF DELEGATION 7 OCTOBER 2020

INVESTIGATIONS & LITIGATION SOLICITOR

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law* (NSW) or in the *Legal Profession Uniform Law Application Act 2014* (NSW) have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014*, the Council of the Law Society (**Law Society Council**) hereby delegates to the person for the time being holding, acting in, or performing the duties of the position of:

- 1. Investigations Solicitor;**
- 2. Litigation Solicitor;**

being employees of the Law Society of New South Wales, the following Chapter 5 functions of the *Legal Profession Uniform Law (NSW)* contained in the sections set out below as delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 30 September 2020.

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions identified in each section set out below.

CHAPTER 5 - DISPUTE RESOLUTION AND PROFESSIONAL DISCIPLINE

DIVISION 2 - PRELIMINARY ASSESSMENT OF COMPLAINTS

- Section 276

DIVISION 3 - NOTIFICATION TO AND SUBMISSIONS BY RESPONDENTS

- Section 279

DIVISION 4 - INVESTIGATION OF COMPLAINTS

- Section 282(1)

PART 5.4 - DISCIPLINARY MATTERS

DIVISION 2 - DETERMINATION BY LOCAL REGULATORY AUTHORITY

- Section 299(2)(a) — other than extending the specified period within which the respondent or associate and the complainant are invited to make written submissions

DIVISION 3 - ROLE OF DESIGNATED TRIBUNAL

- Section 300(2)

PART 5.7 - GENERAL DUTIES OF LOCAL REGULATORY AUTHORITY

- Section 318

FUNCTIONS UNDER ANOTHER PROVISION OF THE LEGAL PROFESSION UNIFORM LAW (NSW) LAW RELATING TO CHAPTER 5

All sections contained within:

- Part 7.2 Requirements relating to documents, information and other assistance
- Part 7.3 Entry and search of premises
- Part 7.4 Additional powers in relation to incorporated legal practices

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 7 OCTOBER 2020 DEPUTY DIRECTOR, INVESTIGATIONS

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law (NSW)* (**Uniform Law**) or in the *Legal Profession Uniform Law Application Act 2014 (NSW)* (**Application Act**) have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the Legal Profession Uniform Law Application Act 2014, the Council of the Law Society (Law Society Council) hereby delegates to the person for the time being holding, acting in, or performing the duties of the position of **Deputy Director, Investigations** being an employee of the Law Society of New South Wales, the following Chapter 5 functions of the *Legal Profession Uniform Law (NSW)* contained in the sections set out below as delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 30 September 2020.

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions identified in each section set out below.

CHAPTER 5 - DISPUTE RESOLUTION AND PROFESSIONAL DISCIPLINE

PART 5.2 – COMPLAINTS

DIVISION 2 – PRELIMINARY ASSESSMENT OF COMPLAINTS

- Section 276

DIVISION 3 - NOTIFICATION TO AND SUBMISSIONS BY RESPONDENTS

- Section 279
- Section 280(2)

DIVISION 4 - INVESTIGATION OF COMPLAINTS

- Section 282(1)
- Section 284

PART 5.4 - DISCIPLINARY MATTERS

DIVISION 2 - DETERMINATION BY LOCAL REGULATORY AUTHORITY

- Section 299(2)(a)

DIVISION 3 - ROLE OF DESIGNATED TRIBUNAL

- Section 300(2)

PART 5.7 - GENERAL DUTIES OF LOCAL REGULATORY AUTHORITY

- Section 318

FUNCTIONS UNDER ANOTHER PROVISION OF THE LEGAL PROFESSION UNIFORM LAW (NSW) LAW RELATING TO CHAPTER 5

All sections contained within:

- Part 7.2 Requirements relating to documents, information and other assistance
- Part 7.3 Entry and search of premises
- Part 7.4 Additional powers in relation to incorporated legal practices

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 7 OCTOBER 2020

LITIGATION MANAGER

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law (NSW)* or in the *Legal Profession Uniform Law Application Act 2014 (NSW)* have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014*, the Council of the Law Society (**Law Society Council**) hereby delegates to the person for the time being holding, acting in, or performing the duties of the position of **Litigation Manager** being an employee of the Law Society of New South Wales, the following Chapter 5 functions of the *Legal Profession Uniform Law (NSW)* contained in the sections set out below as delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 30 September 2020.

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions identified in each section set out below.

CHAPTER 5 - DISPUTE RESOLUTION AND PROFESSIONAL DISCIPLINE

PART 5.2 – COMPLAINTS

DIVISION 2 – PRELIMINARY ASSESSMENT OF COMPLAINTS

- Section 276

DIVISION 3 - NOTIFICATION TO AND SUBMISSIONS BY RESPONDENTS

- Section 279
- Section 280(2)

DIVISION 4 - INVESTIGATION OF COMPLAINTS

- Section 282(1)

PART 5.4 - DISCIPLINARY MATTERS

DIVISION 2 - DETERMINATION BY LOCAL REGULATORY AUTHORITY

- Section 299(2)(a)

DIVISION 3 - ROLE OF DESIGNATED TRIBUNAL

- Section 300(2)

PART 5.7 - GENERAL DUTIES OF LOCAL REGULATORY AUTHORITY

- Section 318

FUNCTIONS UNDER ANOTHER PROVISION OF THE LEGAL PROFESSION UNIFORM LAW (NSW) LAW RELATING TO CHAPTER 5

All sections contained within:

- Part 7.2 Requirements relating to documents, information and other assistance
- Part 7.3 Entry and search of premises
- Part 7.4 Additional powers in relation to incorporated legal practices

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 7 OCTOBER 2020

DIRECTOR, LEGAL REGULATION

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law* (NSW) or in the *Legal Profession Uniform Law Application Act 2014* (NSW) have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014*, the Council of the Law Society (**Law Society Council**) hereby delegates to the person for the time being holding, acting in, or performing the duties of the position of **Director, Legal Regulation** being an employee of the Law Society of New South Wales, the following functions of the *Legal Profession Uniform Law (NSW)* contained in the sections set out below as delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 30 September 2020.

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions identified in each section set out below.

CHAPTER 5 - DISPUTE RESOLUTION AND PROFESSIONAL DISCIPLINE

PART 5.2 — COMPLAINTS

DIVISION 1 - MAKING COMPLAINTS AND OTHER MATTERS ABOUT COMPLAINTS

- Section 273(2)(a)

DIVISION 2 — PRELIMINARY ASSESSMENT OF COMPLAINTS

- Section 276
- Section 277 — to close a complaint where the Professional Conduct Committee has endorsed the closure

DIVISION 3 - NOTIFICATION TO AND SUBMISSIONS BY RESPONDENTS

- Section 279
- Section 280(2)
- Section 281

DIVISION 4 - INVESTIGATION OF COMPLAINTS

- Section 282(1)
- Section 283
- Section 284

PART 5.4 - DISCIPLINARY MATTERS

DIVISION 2 - DETERMINATION BY LOCAL REGULATORY AUTHORITY

- Section 299(2)(a)

DIVISION 3 - ROLE OF DESIGNATED TRIBUNAL

- Section 300(2)

PART 5.7 - GENERAL DUTIES OF LOCAL REGULATORY AUTHORITY

- Section 318

**FUNCTIONS UNDER ANOTHER PROVISION OF THE LEGAL PROFESSION UNIFORM LAW
(NSW) LAW RELATING TO CHAPTER 5**

All sections contained within:

- Part 7.2 Requirements relating to documents, information and other assistance
- Part 7.3 Entry and search of premises
- Part 7.4 Additional powers in relation to incorporated legal practices

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 7 OCTOBER 2020
PROFESSIONAL CONDUCT COMMITTEE

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law (NSW)* or in the *Legal Profession Uniform Law Application Act 2014 (NSW)* have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Legal Profession Uniform Law Application Act 2014*, the Council of the Law Society (**Law Society Council**) hereby delegates the functions of the *Legal Profession Uniform Law (NSW)* delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 30 September 2020, as specified below, to the following committees as constituted by the Law Society Council by resolution of 16 January 2020:

1. Professional Conduct Committee 1 or Joint Professional Conduct Committee — all functions;
2. Professional Conduct Committee 2 — all functions except functions under section 278 and 300 of the *Legal Profession Uniform Law (NSW)*; and
3. Professional Conduct Committee 3 — all functions except functions under section 278 and 300 of the *Legal Profession Uniform Law (NSW)*.

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION 7 OCTOBER 2020 TEAM LEADER, INVESTIGATIONS

In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law* (NSW) or in the *Legal Profession Uniform Law Application Act 2014* (NSW) have the same meanings in this instrument as they have in those laws.

Pursuant to section 32 of the *Application Act*, the Council of the Law Society (**Law Society Council**) hereby delegates to the person/s for the time being holding, acting in, or performing the duties of the position of **Team Leader, Investigations** being employees of the Law Society of New South Wales, the following Chapter 5 functions of the *Legal Profession Uniform Law (NSW)* contained in the sections set out below as delegated by the NSW Legal Services Commissioner to the Law Society Council by Instrument of Delegation and Direction dated 9 October 2019.

For the avoidance of doubt, and unless otherwise stated, the functions delegated are all of the functions identified in each section set out below, as amended from time to time.

CHAPTER 5 - DISPUTE RESOLUTION AND PROFESSIONAL DISCIPLINE

DIVISION 2 - PRELIMINARY ASSESSMENT OF COMPLAINTS

- Section 276

DIVISION 3 - NOTIFICATION TO AND SUBMISSIONS BY RESPONDENTS

- Section 279

DIVISION 4 - INVESTIGATION OF COMPLAINTS

- Section 282(1)

PART 5.4 - DISCIPLINARY MATTERS

DIVISION 2 - DETERMINATION BY LOCAL REGULATORY AUTHORITY

- Section 299(2)(a) – other than extending the specified period within which the respondent or associate and the complainant are invited to make written submissions

DIVISION 3 - ROLE OF DESIGNATED TRIBUNAL

- Section 300(2)

PART 5.7 - GENERAL DUTIES OF LOCAL REGULATORY AUTHORITY

- Section 318

FUNCTIONS UNDER ANOTHER PROVISION OF THE LEGAL PROFESSION UNIFORM LAW (NSW) LAW RELATING TO CHAPTER 5

All sections contained within:

- Part 7.2 Requirements relating to documents, information and other assistance
- Part 7.3 Entry and search of premises
- Part 7.4 Additional powers in relation to incorporated legal practices

.....
President, Law Society of New South Wales
Signed with the authority of the Law Society Council

INSTRUMENT OF DELEGATION

Preamble: the role of the Council of the Law Society of New South Wales under the *Legal Profession Uniform Law (NSW)*

The Council of the Law Society of New South Wales (**Law Society Council**) is a designated local regulatory authority under the *Legal Profession Uniform Law (NSW)* (**Uniform Law**).

A designated local regulatory authority means “a person or body specified or described in a law of this jurisdiction for the purposes of a provision, or part of a provision, of this Law in which the term is used” (s6 of the Uniform Law).

The Uniform Law confers powers and functions on designated local regulatory authorities.

Section 11 of the *Legal Profession Uniform Law Application Act* (**Application Act**) sets out the provisions under the Uniform Law for which the Law Society Council is the designated local regulatory authority such as Chapters 2 to 4 and 6 to 8.

The Council of the Bar Association of New South Wales and the New South Wales Legal Services Commissioner (**NSW Commissioner**) are also prescribed as designated local regulatory authorities under the Uniform Law.

The NSW Commissioner is the designated local regulatory authority in relation to complaints about lawyers (Chapter 5) and complaint investigations (Chapter 7). The NSW Commissioner has delegated functions to the Law Society Council including by an Instrument of Delegation and Direction dated 30 September 2020.

Section 28 and 32 of the Application Act allows the Law Society Council to delegate its powers and functions including:

- i. functions under Chapter 5 of the Uniform Law as delegated by the NSW Commissioner to the Law Society Council under section 28 of the Application Act;
- ii. functions under the Uniform Law (other than under Chapter 5), or within the instruments made under that Act, in respect of which the Law Society Council is the designated local regulatory authority;
- iii. functions under the Application Act, or within the instruments made under that Act, in respect of which the Law Society Council is the designated local regulatory authority.

INSTRUMENT OF DELEGATION AND GUIDELINE UNDER SECTION 408

1. In this instrument:
 - (i) Terms used in the *Legal Profession Uniform Law (NSW)* (**Uniform Law**) or in the *Legal Profession Uniform Law Application Act 2014 (NSW)* (**Application Act**) or any subordinate instrument have the same meaning in this instrument as they have in those laws.
 - (ii) Provisions means sections, rules, regulations or clauses.
2. Pursuant to section 32 of the Application Act and section 406 of the Uniform Law, the Council of the Law Society of New South Wales (**Law Society Council**) hereby delegates the powers and functions in the provisions specified in Column A and described in Column B of Schedule 1 to:

- (i) the Committee or Committees of the Law Society Council established pursuant to a resolution of the Council, or pursuant to a Constitution in respect of that Committee adopted by resolution of the Council, as specified in Column C; and/or
- (ii) the person or persons for the time being holding, acting in, or performing the duties of the position or positions specified in Column C, being employees of the Law Society of New South Wales.

Note: Headings used in Schedule 1 do not form part of the delegations

- 3. For the avoidance of doubt, and unless otherwise stated, the powers and functions delegated are all powers and functions exercisable under each provision specified in Column A.
- 4. The descriptions in Column B do not limit the scope of the powers and functions delegated in Column A.
- 5. Pursuant to s 408 of the Uniform Law, the Law Society Council may issue guidelines to its delegates about the exercise of functions under the Uniform Law or the Legal Profession Uniform Rules made under Part 9.2 of the Uniform Law. In the exercise of that power, the Law Society Council hereby issues the guidelines in Column D to the delegates specified in Column C, in respect of the exercise of any power or function specified in Column A.
- 6. This instrument does not affect the validity of any past act or past exercise of powers or functions exercised or performed in accordance with previous delegations or directions.

SCHEDULE 1 – Table of Delegations

A	B	C	D
Legal Profession Uniform Law Application Act 2014			
<i>Part 4 – Practising certificates and registration certificates</i>			
Section 37(3)	Rejection of applications for renewal made outside the specified time periods	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Section 38(3)	Waiver of fees in respect of local practising certificates	Director, Licensing and Registry	Nil
Section 39(2)	Requirement to pay a late fee	Director, Licensing and Registry	Nil
Section 40(2)	Requirement to pay a late fee where the practising certificate was allowed to lapse	Director, Licensing and Registry	Nil
Section 42(4)	Waiver of fees in respect of Australian registration certificates	Director, Licensing and Registry	Nil
<i>Part 12 – Registers and publicising disciplinary action</i>			
Sections 149 and 150	Keeping and maintaining the register of local practising certificates and local registration certificates	Director, Licensing and Registry	Nil
Sections 151, 152, 153 and 154	Register of disqualification orders Register of disciplinary action	Director, Legal Regulation Deputy Director, Litigation and External Intervention Deputy Director, Investigations	Nil

A	B	C	D
Part 13 – Miscellaneous			
Section 162	Approval of forms	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Legal Profession Uniform Law (NSW)			
Part 2.1 – Unqualified legal practice			
Section 14(a)	Take any steps that may be necessary or proper for or with respect to the investigation of any question as to conduct by any entity (whether or not an Australian lawyer) that is, or may be, a contravention of a provision of Part 2.2	Professional Conduct Committee 1 (PCC1) Director, Legal Regulation Deputy Director, Investigations, PSD Deputy Director, Litigation and External Intervention, PSD Team Leaders, PSD Persons appointed to conduct complaints investigations under s 282 of the Uniform Law	Nil
Section 14(b)	Institute prosecutions and other proceedings for the contravention of a provision of this Part by any entity (whether or not an Australian lawyer).	PCC1	Nil

A	B	C	D
Part 3.3 – Australian legal practitioners			
All functions under Part 3.3	Functions relating to the grant, renewal, refusal and variation of Australian practising certificates	<p>Licensing Committee</p> <p>Disclosure Committee</p> <p>Director, Legal Regulation</p> <p>Director, Licensing and Registry</p> <p>Company Secretary/Secretary of the Law Society</p>	<p>A delegate that is considering refusing to grant or refusing to renew a practising certificate under Part 3.3 should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>A delegate (other than the Licensing Committee or the Disclosure Committee) that is considering imposing discretionary conditions of a kind referred to in rule 16(c) and 16(d) of the <i>Legal Profession Uniform General Rules 2015 (General Rules)</i> should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>Any delegate (other than the Disclosure Committee) that is considering imposing discretionary conditions of a kind referred to in rule 16(e) to 16(g) of the General Rules should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p>

A	B	C	D
Part 3.4 – Foreign lawyers			
All functions under Part 3.4	Functions relating to the regulation of foreign lawyers	Licensing Committee Disclosure Committee Director, Legal Regulation Director, Licensing and Registry Company Secretary/Secretary of the Law Society	<p>A delegate that is considering refusing to grant or refusing to renew a registration certificate under Part 3.4 should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>A delegate (other than the Licensing Committee or the Disclosure Committee) that is considering imposing discretionary conditions under Rule 22(b) of the General Rules on a Registration Certificate, which is of a kind that many be imposed on a Practising Certificate under Rule 16(d) of the General Rules but excluding and conditions imposed pursuant to section 67(3) of the Uniform Law, should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>Any delegate (other than the Disclosure Committee) that is considering imposing discretionary conditions under Rule 22(b) of the General Rules on a Registration Certificate, which is of a kind that many be imposed on a Practising Certificate under Rules 16(e) to 16(g) of the General Rules should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise</p>

A	B	C	D
			the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
<i>Part 3.5 – Variation, suspension and cancellation of, or refusal to renew, certificates</i>			
Section 74	Variation, suspension, or cancellation for minor matters, or at request or with concurrence	PCC1 Professional Conduct Committee 2 (PCC2) Professional Conduct Committee 3 (PCC3) Licensing Committee Disclosure Committee Director, Licensing and Registry Director, Legal Regulation Company Secretary/Secretary of the Law Society	Nil
Section 75	Variation, suspension or cancellation at direction of the designated tribunal	PCC1 PCC2 PCC3 Licensing Committee Director, Licensing and Registry Director, Legal Regulation	Nil

A	B	C	D
		Company Secretary/Secretary of the Law Society	
Section 76, and all functions under Division 3, Division 4, and Division 5	<p>Variation, suspension of, cancellation of a practising certificate on specific grounds under Division 3</p> <p>Show cause procedure for variation, suspension or cancellation of, or refusal to renew, certificates under Division 4</p> <p>Miscellaneous functions under Division 5</p>	<p>PCC 1 PCC 2 PCC 3</p> <p>Licensing Committee (Divisions 3 and 5 only).</p> <p>Disclosure Committee</p>	A delegate that is considering suspending or cancelling a practising certificate, or refusing to renew a certificate, or a related recommendation under s94 of the Uniform Law should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Section 78	Lifting of suspension and renewal during suspension	Director, Legal Regulation	Nil
Section 95	<p>Power to require an applicant or holder:</p> <ul style="list-style-type: none"> i. to give specified documents or information; ii. to be medically examined by a medical practitioner nominated by the designated local regulatory authority; or iii. to provide a report from a Commissioner of Police as to whether the applicant or 	<p>PCC1 PCC2 PCC3</p> <p>Company Secretary/Secretary of the Law Society</p> <p>Director, Legal Regulation</p> <p>Director, Licensing and Registry</p>	Nil

A	B	C	D
	iv. holder has been convicted or found guilty of an offence in Australia; or to cooperate with any inquiries by the designated local regulatory authority.	Deputy Director, Investigations Deputy Director, Litigation and External Intervention	
<i>Part 3.6 – Appeal or review about certificates</i>			
Section 100(5)	Making submissions regarding the imposition of conditions on an Australian practising certificate	Director, Legal Regulation Deputy Director, Litigation and External Intervention	Nil
Section 101(5)	Making submissions regarding the imposition of conditions on an Australian registration certificate	Director, Legal Regulation Deputy Director, Litigation and External Intervention	Nil
<i>Part 3.7 – Incorporated and unincorporated legal practices</i>			
Section 108	Right to intervene in proceedings relating to external administration	Director, Legal Regulation Director, Litigation and External Intervention	The delegate should consult with the President of the Law Society before intervening in proceedings.
Section 109	Right to intervene in proceedings relating to external administration and receivership	Director Legal Regulation Deputy Director, Litigation and External Intervention	The delegate should consult with the President of the Law Society before intervening in proceedings.
<i>Part 3.9 – Disqualifications</i>			

A	B	C	D
Section 121	Approval of lay associates that would otherwise be disqualified from working in a law practice	PCC1 PCC2 PCC3	Nil
<i>Part 4.2 – Trust money and trust accounts</i>			
Section 149	Receipt of reports from ADIs	Chief Trust Account Investigator	Nil
Section 151	Receipt of notifications relating to the disclosure of accounts used to hold money	Chief Trust Account Investigator	Nil
Section 154	Receipt of notice of irregularities and believed irregularities	Chief Trust Account Investigator Director, Legal Regulation	Nil
Section 155	Appointment of an external examiner to examine trust records	Chief Trust Account Investigator Company Secretary/Secretary of the Law Society Director Legal Regulation	Nil
Section 159	Receipt of reports from external examiners	Chief Trust Account Investigator	Nil
Section 163	External investigations	Chief Trust Account Investigator	Nil
Section 165	Receipt of reports from external investigators	Chief Trust Account Investigator Director, Legal Regulation	Nil

A	B	C	D
All functions under Division 4	Appointment of an external investigator, external investigations, and recovery of costs	PCC1 PCC2 PCC3	Nil
<i>Part 4.4 – Business practice and professional conduct</i>			
Section 215	Exemptions from the requirement to obtain an approved insurance policy and related functions	Director, Licensing and Registry Company Secretary/Secretary of the Law Society	Nil
<i>Part 4.6 – Business management and control</i>			
All functions under Part 4.6	Compliance audits and the giving of management system directions	PCC1 PCC2 PCC3	Nil
<i>Chapter 5 – Dispute resolution and professional discipline</i>			
All functions delegated by the Commissioner under Chapter 5 (except for functions under Part 5.2)	Provisions relating to the making of and determination of complaints including determination of unsatisfactory professional conduct under s299 and initiation and prosecution of proceedings in a designated Tribunal under section 300.	PCC1 PCC2 PCC3	If PCC2 or PCC3 is considering commencing proceedings under s 300 of the Uniform Law, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Part 5.2 – Complaints			

A	B	C	D
All functions delegated by the Commissioner under Part 5.2, except sections 272 and 278	Complaints handling including the initiation of investigations	PCC1 PCC2 PCC3 Director, Legal Regulation Deputy Director, Investigations Team Leaders, Investigations	<p>The appointment by a delegate of a suitably qualified person to conduct a particular complaints investigation should only be made if the person has been appointed generally under s282(3) by the Law Society Council.</p> <p>If the Deputy Director Investigations or a Team Leader, Investigations is considering closing a complaint under s 277 on any ground, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>If the Director Legal Regulation is considering closing a complaint following preliminary assessment on the grounds set out in ss 277(1)(a), (f), (g) or (j), the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p>
Section 272	Waiving the time requirement for the making of a complaint	PCC1 PCC2 PCC3	Nil
Section 278	Recommending to the DLRA that an Australian practising certificate	PCC1	Nil

A	B	C	D
	or Australian registration certificate be immediately suspended where a complaint has been made about an Australian legal practitioner		
Chapter 6 – External intervention			
All functions under Chapter 6, except sections 334 and 341	The appointment and termination of managers, trust supervisors and receivers, and related miscellaneous functions	PCC1	
All functions under Chapter 6, except sections 341 and 365	The appointment and termination of managers, trust supervisors and receivers, and related miscellaneous functions	Director, Legal Regulation	Where the delegate is considering making an initial appointment (being an appointment where there has not been an appointment to the law practice in the previous 6 months) as supervisor of trust money or as manager of a law practice, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Section 331(3)	Approval of forms for supervisors of trust money	Chief Trust Account Investigator Deputy Director, Litigation and External Intervention	Nil
Section 336(3)	Approval of forms for managers	Chief Trust Account Investigator	Nil

A	B	C	D
		Deputy Director, Litigation and External Intervention	
Section 343(6)	Approval of forms for receivers	Chief Trust Account Investigator Deputy Director, Litigation and External Intervention	Nil
Chapter 7 – Investigatory powers			
All functions	Powers to approve forms and authorise entry to residential premises	Director, Legal Regulation Deputy Director, Investigations	Nil
Chapter 9 – Miscellaneous			
Part 9.4 – Cooperative and other arrangements			
All functions under Part 9.4 (except section 436)	Various powers and duties to communicate with other designated local regulatory authorities, ASIC and other jurisdictions (other than the power to enter into MOUs to disclose information and mutual recognition of foreign qualifications and practical legal training)	Director Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Part 9.5 – Notices and evidentiary matters			
Section 446	Certification of matters relating to practising certificates	Director, Licensing and Registry	Nil

A	B	C	D
		Company Secretary/Secretary of the Law Society Director, Legal Regulation	
<i>Part 9.6 – Injunctions</i>			
All functions under Part 9.6	Initiating and prosecuting applications for injunctions to restrain a breach of the Act	PCC1	Nil
<i>Part 9.7 – Criminal and civil penalties</i>			
Section 453	Initiating civil penalty proceedings	PCC1	Nil
<i>Part 9.9 – General</i>			
Section 465	Duty to report suspected criminal offences to the Police	PCC1 PCC2 PCC3 Disclosure Committee Director, Legal Regulation	Nil
Section 466(7)	Recommending to the DLRA that an Australian practising certificate or Australian registration certificate be suspended while a failure by the holder to comply with a requirement under s 466(1) continues	PCC1 PCC2 PCC3 Disclosure Committee Director, Legal Regulation	Nil

A	B	C	D
Section 473(2)	Approval of forms	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil

Legal Profession Uniform General Rules 2015

Part 3.3 – Australian Legal Practitioners

Rule 12	Require the applicant to address matters under subclause (1) and seek further information under subclause (3)	Director Legal Regulation Director Licensing and Registry	Nil
---------	---	--	-----

Part 3.4 – Foreign Lawyers

Rule 20	Require the applicant to address matters under subclause (1), seek further information under subclause (3) and requirement payment of expenses (4)	Director Legal Regulation Director Licensing and Registry	Nil
---------	--	--	-----

Part 4.2 – Trust money and trust accounts

Rule 50	Notification requirements concerning general trust accounts	Chief Trust Account Investigator	Nil
Rule 51	Law practice closing down, closing office or ceasing to receive or hold trust money	Chief Trust Account Investigator	Nil
Rule 54	Statements regarding receipt or holding of trust money	Chief Trust Account Investigator	Nil
Rule 57	Receive notifications pursuant to rule 57	Chief Trust Account Investigator	Nil
Rule 65A	All functions, including disqualification and termination of appointment of a person to act as an external examiner, and revocation of such disqualification	Chief Trust Account Investigator Director, Legal Regulation	Nil
Rule 66	All functions, including approving termination of	Chief Trust Account Investigator	Nil

	appointment, and requiring evidence to be provided	Director, Legal Regulation Administration Manager, Trust Accounts Department	
Rule 67	Standard form reports by external examiners	Chief Trust Account Investigator	Nil
Rule 68	Final external examination (receipt of reports)	Chief Trust Account Investigator	Nil
Rule 69	Receipt of external examiner's report	Chief Trust Account Investigator	Nil
<i>Part 4.4 – Professional Indemnity Insurance</i>			
Rule 81	Power to require submission of professional indemnity insurance policy for assessment as to compliance	Director Legal Regulation Director Licensing and Registry Company Secretary	Nil
Rule 82(1)	Power to exempt community legal services from the requirement to hold or be covered by an approved insurance policy	Director Legal Regulation Director Licensing and Registry Company Secretary	Nil
<i>Part 6.6 – General</i>			
Rule 103(2)	Power to apply for taxation or assessment of fees, costs or expenses of an account of an external examiner	Director Legal Regulation Deputy Director, Litigation and External Intervention	Nil

Rule 104	Power to require reports from external intervenor	Director Legal Regulation Deputy Director, Litigation and External Intervention	Nil
----------	---	--	-----

Legal Profession Uniform Continuing Professional Development (Solicitors) Rules 2015

Part 3.3 – Australian Legal Practitioners

Rule 14	Verification of CPD activities	Licensing Committee Director Licensing and Registry	Nil
Rule 15	Rectification of non-compliance	Licensing Committee Director Licensing and Registry	Nil
Rule 16	Exemptions	Licensing Committee Director Licensing and Registry	Nil

DELEGATION TO THE FIDELITY FUND COMMITTEE – 19 JANUARY 2023

The Council **RESOLVES:**

.....

3. Pursuant to section 119(1) of the Application Act, the Council delegates to the Management Committee of the Legal Practitioners Fidelity Fund as constituted from time to time, the following functions of the Council in relation to the Fidelity Fund:
 - (a) the functions contained in sections 118 and 122(2), (3) & (4) of the Application Act;
 - (b) the functions contained in Part 4.5, Divisions 4,5,6 & 7 of the Legal Profession Uniform Law (NSW) (**LPUL**), but excluding section 240(1);
 - (c) the functions contained in Part 4.5 of the Legal Profession Uniform General Rules 2015 (the **General Rules**); and
 - (d) to take any action incidental to any of the above functions which might be required for the management of the Fidelity Fund in accordance with Part 9 Divisions 1 & 2 of the Application Act, Part 4.5 of LPUL and Part 4.5 of the General Rules.
4. Claims against the Legal Practitioners Fidelity Fund are to be determined by the Management Committee of the Legal Practitioners Fidelity Fund independently, at arm's length from the legal profession as required by section 240(1) LPUL.
5. Pursuant to section 119(1) of the Application Act and s.426(1) of the Legal Profession Act 2004 (**LPA 2004**) as applicable, the Council delegates to the Management Committee of the Legal Practitioners Fidelity Fund as constituted from time to time, so much of the functions previously delegated by the Council to the Management Committee of the Legal Practitioners Fidelity Fund in paragraph numbered 3 of its resolution made on 15 January 2015 as are necessary to give effect to clauses 22(2) and 2(5) of Schedule 4 of LPUL to deal with claims in accordance with LPA 2004.

INSTRUMENT OF DELEGATION

Preamble: the role of the Council of the Law Society of New South Wales under the *Legal Profession Uniform Law (NSW)*

The Council of the Law Society of New South Wales (**Law Society Council**) is a designated local regulatory authority under the *Legal Profession Uniform Law (NSW)* (**Uniform Law**).

A designated local regulatory authority means “a person or body specified or described in a law of this jurisdiction for the purposes of a provision, or part of a provision, of this Law in which the term is used” (s6 of the Uniform Law).

The Uniform Law confers powers and functions on designated local regulatory authorities.

Section 11 of the *Legal Profession Uniform Law Application Act* (**Application Act**) sets out the provisions under the Uniform Law for which the Law Society Council is the designated local regulatory authority such as Chapters 2 to 4 and 6 to 8.

The Council of the Bar Association of New South Wales and the New South Wales Legal Services Commissioner (**NSW Commissioner**) are also prescribed as designated local regulatory authorities under the Uniform Law.

The NSW Commissioner is the designated local regulatory authority in relation to complaints about lawyers (Chapter 5) and related provisions. The Acting NSW Commissioner has delegated these functions (including certain related provisions) to the Law Society Council by an Instrument of Delegation and Direction dated 31 March 2023.

Section 28 and 32 of the Application Act allows the Law Society Council to delegate its powers and functions including:

- i. functions under Chapter 5 of the Uniform Law (including functions under Chapter 7 of the Uniform Law and functions under the *Legal Profession Uniform General Rules* relating to Chapter 5) as delegated by the NSW Commissioner to the Law Society Council under section 28 of the Application Act;
- ii. functions under the Uniform Law (other than under Chapter 5), or within the instruments made under that Act, in respect of which the Law Society Council is the designated local regulatory authority;
- iii. functions under the Application Act, or within the instruments made under that Act, in respect of which the Law Society Council is the designated local regulatory authority.

INSTRUMENT OF DELEGATION AND GUIDELINE UNDER SECTION 408

1. In this instrument:

- (i) Terms used in the *Legal Profession Uniform Law (NSW)* (**Uniform Law**) or in the *Legal Profession Uniform Law Application Act 2014 (NSW)* (**Application Act**) or any subordinate instrument have the same meaning in this instrument as they have in those laws.
 - (ii) Provisions means sections, rules, regulations or clauses.
2. Pursuant to section 32 of the Application Act and section 406 of the Uniform Law, the Council of the Law Society of New South Wales (**Law Society Council**) hereby

delegates the powers and functions in the provisions specified in Column A and described in Column B of Schedule 1 to:

- (i) the Committee or Committees of the Law Society Council established pursuant to a resolution of the Council, or pursuant to a Constitution in respect of that Committee adopted by resolution of the Council, as specified in Column C; and/or
- (ii) the person or persons for the time being holding, acting in, or performing the duties of the position or positions specified in Column C, being employees of the Law Society of New South Wales.

Note: Headings used in Schedule 1 do not form part of the delegations

- 3. For the avoidance of doubt, and unless otherwise stated, the powers and functions delegated are all powers and functions exercisable under each provision specified in Column A.
- 4. The descriptions in Column B do not limit the scope of the powers and functions delegated in Column A.
- 5. Pursuant to s 408 of the Uniform Law, the Law Society Council may issue guidelines to its delegates about the exercise of functions under the Uniform Law or the Legal Profession Uniform Rules made under Part 9.2 of the Uniform Law. In the exercise of that power, the Law Society Council hereby issues the guidelines in Column D to the delegates specified in Column C, in respect of the exercise of any power or function specified in Column A.
- 6. This instrument does not affect the validity of any past act or past exercise of powers or functions exercised or performed in accordance with previous delegations or directions.

SCHEDULE 1 – Table of Delegations

A	B	C	D
Legal Profession Uniform Law Application Act 2014			
<i>Part 4 – Practising certificates and registration certificates</i>			
Section 37(3)	Rejection of applications for renewal made outside the specified time periods	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Section 38(3)	Waiver of fees in respect of local practising certificates	Director, Licensing and Registry	Nil
Section 39(2)	Requirement to pay a late fee	Director, Licensing and Registry	Nil
Section 40(2)	Requirement to pay a late fee where the practising certificate was allowed to lapse	Director, Licensing and Registry	Nil
Section 42(4)	Waiver of fees in respect of Australian registration certificates	Director, Licensing and Registry	Nil
<i>Part 12 – Registers and publicising disciplinary action</i>			
Sections 149 and 150	Keeping and maintaining the register of local practising certificates and local registration certificates	Director, Licensing and Registry	Nil
Sections 151, 152, 153 and 154	Register of disqualification orders Register of disciplinary action	Director, Legal Regulation Deputy Director, Litigation and External Intervention Deputy Director, Investigations	Nil

A	B	C	D
Part 13 – Miscellaneous			
Section 162	Approval of forms	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Legal Profession Uniform Law (NSW)			
Part 2.1 – Unqualified legal practice			
Section 14(a)	Take any steps that may be necessary or proper for or with respect to the investigation of any question as to conduct by any entity (whether or not an Australian lawyer) that is, or may be, a contravention of a provision of Part 2.2	Professional Conduct Committee 1 (PCC1) Director, Legal Regulation Deputy Director, Investigations, PSD Deputy Director, Litigation and External Intervention, PSD Team Leaders, PSD Persons appointed to conduct complaints investigations under s 282 of the Uniform Law	Nil
Section 14(b)	Institute prosecutions and other proceedings for the contravention of a provision of this Part by any entity (whether or not an Australian lawyer).	PCC1	Nil

A	B	C	D
Part 3.3 – Australian legal practitioners			
All functions under Part 3.3	Functions relating to the grant, renewal, refusal and variation of Australian practising certificates	<p>Licensing Committee</p> <p>Disclosure Committee</p> <p>Director, Legal Regulation</p> <p>Director, Licensing and Registry</p> <p>Company Secretary/Secretary of the Law Society</p>	<p>A delegate that is considering refusing to grant or refusing to renew a practising certificate under Part 3.3 should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>A delegate (other than the Licensing Committee or the Disclosure Committee) that is considering imposing discretionary conditions of a kind referred to in rule 16(c) and 16(d) of the <i>Legal Profession Uniform General Rules 2015 (General Rules)</i> should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>Any delegate (other than the Disclosure Committee) that is considering imposing discretionary conditions of a kind referred to in rule 16(e) to 16(g) of the General Rules should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p>

A	B	C	D
Part 3.4 – Foreign lawyers			
All functions under Part 3.4	Functions relating to the regulation of foreign lawyers	Licensing Committee Disclosure Committee Director, Legal Regulation Director, Licensing and Registry Company Secretary/Secretary of the Law Society	<p>A delegate that is considering refusing to grant or refusing to renew a registration certificate under Part 3.4 should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>A delegate (other than the Licensing Committee or the Disclosure Committee) that is considering imposing discretionary conditions under Rule 22(b) of the General Rules on a Registration Certificate, which is of a kind that many be imposed on a Practising Certificate under Rule 16(d) of the General Rules but excluding and conditions imposed pursuant to section 67(3) of the Uniform Law, should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>Any delegate (other than the Disclosure Committee) that is considering imposing discretionary conditions under Rule 22(b) of the General Rules on a Registration Certificate, which is of a kind that many be imposed on a Practising Certificate under Rules 16(e) to 16(g) of the General Rules should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise</p>

A	B	C	D
			the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
<i>Part 3.5 – Variation, suspension and cancellation of, or refusal to renew, certificates</i>			
Section 74	Variation, suspension, or cancellation for minor matters, or at request or with concurrence	PCC1 Professional Conduct Committee 2 (PCC2) Professional Conduct Committee 3 (PCC3) Licensing Committee Disclosure Committee Director, Licensing and Registry Director, Legal Regulation Company Secretary/Secretary of the Law Society	Nil
Section 75	Variation, suspension or cancellation at direction of the designated tribunal	PCC1 PCC2 PCC3 Licensing Committee Director, Licensing and Registry Director, Legal Regulation	Nil

A	B	C	D
		Company Secretary/Secretary of the Law Society	
Section 76, and all functions under Division 3, Division 4, and Division 5	<p>Variation, suspension of, cancellation of a practising certificate on specific grounds under Division 3</p> <p>Show cause procedure for variation, suspension or cancellation of, or refusal to renew, certificates under Division 4</p> <p>Miscellaneous functions under Division 5</p>	<p>PCC 1 PCC 2 PCC 3</p> <p>Licensing Committee (Divisions 3 and 5 only).</p> <p>Disclosure Committee</p>	A delegate that is considering suspending or cancelling a practising certificate, or refusing to renew a certificate, or a related recommendation under s94 of the Uniform Law should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Section 78	Lifting of suspension and renewal during suspension	Director, Legal Regulation	Nil
Section 95	<p>Power to require an applicant or holder:</p> <ul style="list-style-type: none"> i. to give specified documents or information; ii. to be medically examined by a medical practitioner nominated by the designated local regulatory authority; or iii. to provide a report from a Commissioner of Police as to whether the applicant or 	<p>PCC1 PCC2 PCC3</p> <p>Company Secretary/Secretary of the Law Society</p> <p>Director, Legal Regulation</p> <p>Director, Licensing and Registry</p>	Nil

A	B	C	D
	iv. holder has been convicted or found guilty of an offence in Australia; or to cooperate with any inquiries by the designated local regulatory authority.	Deputy Director, Investigations Deputy Director, Litigation and External Intervention	
<i>Part 3.6 – Appeal or review about certificates</i>			
Section 100(5)	Making submissions regarding the imposition of conditions on an Australian practising certificate	Director, Legal Regulation Deputy Director, Litigation and External Intervention	Nil
Section 101(5)	Making submissions regarding the imposition of conditions on an Australian registration certificate	Director, Legal Regulation Deputy Director, Litigation and External Intervention	Nil
<i>Part 3.7 – Incorporated and unincorporated legal practices</i>			
Section 108	Right to intervene in proceedings relating to external administration	Director, Legal Regulation Director, Litigation and External Intervention	The delegate should consult with the President of the Law Society before intervening in proceedings.
Section 109	Right to intervene in proceedings relating to external administration and receivership	Director Legal Regulation Deputy Director, Litigation and External Intervention	The delegate should consult with the President of the Law Society before intervening in proceedings.
<i>Part 3.9 – Disqualifications</i>			

A	B	C	D
Section 121	Approval of lay associates that would otherwise be disqualified from working in a law practice	PCC1 PCC2 PCC3	Nil
<i>Part 4.2 – Trust money and trust accounts</i>			
Section 149	Receipt of reports from ADIs	Chief Trust Account Investigator	Nil
Section 151	Receipt of notifications relating to the disclosure of accounts used to hold money	Chief Trust Account Investigator	Nil
Section 154	Receipt of notice of irregularities and believed irregularities	Chief Trust Account Investigator Director, Legal Regulation	Nil
Section 155	Appointment of an external examiner to examine trust records	Chief Trust Account Investigator Company Secretary/Secretary of the Law Society Director Legal Regulation	Nil
Section 159	Receipt of reports from external examiners	Chief Trust Account Investigator	Nil
Section 163	External investigations	Chief Trust Account Investigator	Nil
Section 165	Receipt of reports from external investigators	Chief Trust Account Investigator Director, Legal Regulation	Nil

A	B	C	D
All functions under Division 4	Appointment of an external investigator, external investigations, and recovery of costs	PCC1 PCC2 PCC3	Nil
<i>Part 4.4 – Business practice and professional conduct</i>			
Section 215	Exemptions from the requirement to obtain an approved insurance policy and related functions	Director, Licensing and Registry Company Secretary/Secretary of the Law Society	Nil
<i>Part 4.6 – Business management and control</i>			
All functions under Part 4.6	Compliance audits and the giving of management system directions	PCC1 PCC2 PCC3	Nil
<i>Chapter 5 – Dispute resolution and professional discipline</i>			
All functions delegated by the Commissioner under Chapter 5 (except for functions under Part 5.2)	Provisions relating to the making of and determination of complaints including determination of unsatisfactory professional conduct under s299 and initiation and prosecution of proceedings in a designated Tribunal under section 300.	PCC1 PCC2 PCC3	If PCC2 or PCC3 is considering commencing proceedings under s 300 of the Uniform Law, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Part 5.2 – Complaints			

A	B	C	D
All functions delegated by the Commissioner under Part 5.2, except sections 272 and 278	Complaints handling including the initiation of investigations	PCC1 PCC2 PCC3 Director, Legal Regulation Deputy Director, Investigations Team Leaders, Investigations	<p>The appointment by a delegate of a suitably qualified person to conduct a particular complaints investigation should only be made if the person has been appointed generally under s282(3) by the Law Society Council.</p> <p>If the Deputy Director Investigations or a Team Leader, Investigations is considering closing a complaint under s 277 on any ground, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p> <p>If the Director Legal Regulation is considering closing a complaint following preliminary assessment on the grounds set out in ss 277(1)(a), (f), (g) or (j), the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.</p>
Section 272	Waiving the time requirement for the making of a complaint	PCC1 PCC2 PCC3	Nil
Section 278	Recommending to the DLRA that an Australian practising certificate	PCC1	Nil

A	B	C	D
	or Australian registration certificate be immediately suspended where a complaint has been made about an Australian legal practitioner		
Chapter 6 – External intervention			
All functions under Chapter 6, except sections 334 and 341	The appointment and termination of managers, trust supervisors and receivers, and related miscellaneous functions	PCC1	
All functions under Chapter 6, except sections 341 and 365	The appointment and termination of managers, trust supervisors and receivers, and related miscellaneous functions	Director, Legal Regulation	Where the delegate is considering making an initial appointment (being an appointment where there has not been an appointment to the law practice in the previous 6 months) as supervisor of trust money or as manager of a law practice, the delegate should give notice to the Law Society Council for the Law Society Council upon receipt of the notice to decide whether to exercise the power under s 411(1) of the Uniform Law to takeover responsibility for the matter.
Section 331(3)	Approval of forms for supervisors of trust money	Chief Trust Account Investigator Deputy Director, Litigation and External Intervention	Nil
Section 336(3)	Approval of forms for managers	Chief Trust Account Investigator	Nil

A	B	C	D
		Deputy Director, Litigation and External Intervention	
Section 343(6)	Approval of forms for receivers	Chief Trust Account Investigator Deputy Director, Litigation and External Intervention	Nil
Chapter 7 – Investigatory powers			
All functions	Powers to approve forms and authorise entry to residential premises	Director, Legal Regulation Deputy Director, Investigations	Nil
Chapter 9 – Miscellaneous			
Part 9.4 – Cooperative and other arrangements			
All functions under Part 9.4 (except section 436)	Various powers and duties to communicate with other designated local regulatory authorities, ASIC and other jurisdictions (other than the power to enter into MOUs to disclose information and mutual recognition of foreign qualifications and practical legal training)	Director Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil
Part 9.5 – Notices and evidentiary matters			
Section 446	Certification of matters relating to practising certificates	Director, Licensing and Registry	Nil

A	B	C	D
		Company Secretary/Secretary of the Law Society Director, Legal Regulation	
<i>Part 9.6 – Injunctions</i>			
All functions under Part 9.6	Initiating and prosecuting applications for injunctions to restrain a breach of the Act	PCC1	Nil
<i>Part 9.7 – Criminal and civil penalties</i>			
Section 453	Initiating civil penalty proceedings	PCC1	Nil
<i>Part 9.9 – General</i>			
Section 465	Duty to report suspected criminal offences to the Police	PCC1 PCC2 PCC3 Disclosure Committee Director, Legal Regulation	Nil
Section 466(7)	Recommending to the DLRA that an Australian practising certificate or Australian registration certificate be suspended while a failure by the holder to comply with a requirement under s 466(1) continues	PCC1 PCC2 PCC3 Disclosure Committee Director, Legal Regulation	Nil

A	B	C	D
Section 473(2)	Approval of forms	Director, Licensing and Registry Company Secretary/Secretary of the Law Society Director, Legal Regulation	Nil

Legal Profession Uniform General Rules 2015

Part 3.3 – Australian Legal Practitioners

Rule 12	Require the applicant to address matters under subclause (1) and seek further information under subclause (3)	Director Legal Regulation Director Licensing and Registry	Nil
---------	---	--	-----

Part 3.4 – Foreign Lawyers

Rule 20	Require the applicant to address matters under subclause (1), seek further information under subclause (3) and requirement payment of expenses (4)	Director Legal Regulation Director Licensing and Registry	Nil
---------	--	--	-----

Part 4.2 – Trust money and trust accounts

Rule 50	Notification requirements concerning general trust accounts	Chief Trust Account Investigator	Nil
Rule 51	Law practice closing down, closing office or ceasing to receive or hold trust money	Chief Trust Account Investigator	Nil
Rule 54	Statements regarding receipt or holding of trust money	Chief Trust Account Investigator	Nil
Rule 57	Receive notifications pursuant to rule 57	Chief Trust Account Investigator	Nil
Rule 65A	All functions, including disqualification and termination of appointment of a person to act as an external examiner, and revocation of such disqualification	Chief Trust Account Investigator Director, Legal Regulation	Nil
Rule 66	All functions, including approving termination of	Chief Trust Account Investigator	Nil

	appointment, and requiring evidence to be provided	Director, Legal Regulation Administration Manager, Trust Accounts Department	
Rule 67	Standard form reports by external examiners	Chief Trust Account Investigator	Nil
Rule 68	Final external examination (receipt of reports)	Chief Trust Account Investigator	Nil
Rule 69	Receipt of external examiner's report	Chief Trust Account Investigator	Nil
<i>Part 4.4 – Professional Indemnity Insurance</i>			
Rule 81	Power to require submission of professional indemnity insurance policy for assessment as to compliance	Director Legal Regulation Director Licensing and Registry Company Secretary	Nil
Rule 82(1)	Power to exempt community legal services from the requirement to hold or be covered by an approved insurance policy	Director Legal Regulation Director Licensing and Registry Company Secretary	Nil
<i>Part 6.6 – General</i>			
Rule 103(2)	Power to apply for taxation or assessment of fees, costs or expenses of an account of an external examiner	Director Legal Regulation Deputy Director, Litigation and External Intervention	Nil

Rule 104	Power to require reports from external intervenor	Director Legal Regulation Deputy Director, Litigation and External Intervention	Nil
----------	---	--	-----

Legal Profession Uniform Continuing Professional Development (Solicitors) Rules 2015

Part 3.3 – Australian Legal Practitioners

Rule 14	Verification of CPD activities	Licensing Committee Director Licensing and Registry	Nil
Rule 15	Rectification of non-compliance	Licensing Committee Director Licensing and Registry	Nil
Rule 16	Exemptions	Licensing Committee Director Licensing and Registry	Nil