

NOTARIES PRACTICE RULES ~~2014 (as amended July 2017)~~2019

WE CHARLES RICHARD GEORGE One of Her Majesty's Counsel Commissary or Master of the Faculties of the Most Reverend Father in God JUSTIN PORTAL by Divine Providence Lord Archbishop of Canterbury Primate of All England and Metropolitan in exercise of the powers conferred by section 4 of the Public Notaries Act 1843 and section 57 of the Courts and Legal Services Act 1990 and of all other powers Us enabling hereby make the following Rules:

ARRANGEMENT OF RULES

PART I: ~~PRELIMINARY~~ PRELIMINARY

- ~~1.~~ 1. Citation and Commencement
2. Interpretation

PART II: PRACTICE AS A NOTARY

3. Oath of Office and Recognition of Notarial Acts
4. General Principles
5. Code of Practice
6. Bankruptcy and Conviction or Arrest
7. Obtaining Instructions
8. Information to be Provided on Receiving Instructions
9. Conflicts of Interest
10. Duty to Act Impartially in respect of Notarial Acts
11. Employed Notaries
12. Language
13. Undertakings
14. Publicity, Websites and Third Party Intermediaries
15. Scrivener Notaries
16. Introductions and Referrals
17. Offering Services other than as a Notary
18. Fees
19. Name of a Notary's Practice
20. Investment Business
21. Supervision of a Notary's Office
22. Continuing Professional Education

PART III: RECORDS AND INSPECTIONS

23. Duty to Keep Records
24. Inspection of Records and Practice
25. Notaries Ceasing to Practice
26. Application to Ecclesiastical Notaries

PART IV: MISCELLANEOUS

27. Waivers

28. Repeals and Savings

PART I: PRELIMINARY

1. Citation and Commencement

- 1.1 These rules may be cited as the Notaries Practice Rules ~~2014~~2019.
- 1.2 These rules shall come into force on 1st ~~May 2014 save for rule 20 which shall come into force on a date to be appointed by the Master by Order made under these rules.~~1st April 2019
- ~~1.3 Rules 18 and 19 were amended in March 2017 and will come into force on 1st April 2017~~
- ~~1.4 Rule 21.5 was added on 13th July 2017 and came into force on 13 August 2017~~

2. Interpretation

~~2.1~~ In these rules:-

- “approved regulator” has the meaning given to it in section 20 of the Legal Services Act 2007;
- “arrangement” means any express or tacit agreement between a notary and another person whether contractually binding or not;
- “client” ~~includes~~means any person who has instructed a notary or on whose behalf instructions have been given to carry out a reserved legal activity ~~within~~or other legal activity in respect of which the ~~meaning of section 12 of the Legal Services Act 2007;~~notary will charge a fee;
- “firm” includes a sole practitioner and professional partnership (which expression shall include a limited liability partnership and any other body corporate) the members of which are authorised to conduct legal practice as such;
- “holding company” and “subsidiary company” have the meanings assigned to them by the Companies Act 2006, and two companies are “associated” where they are subsidiary companies of the same holding company;
- “the Master” means the Master of the Faculties;

•• 2.1 “notarial act” means any act that has validity by virtue only of its preparation performance authentication attestation or verification by a notary and includes any such act carried out by electronic means;

•• 2.2 “notary” includes a firm of notaries;

•• 2.3 “performance” includes execution completion and carrying out;

•• 2.4 “person” includes a body corporate or unincorporated association or group of persons;

•• 2.5 “principles” means the general principles set out in rule 4;

•• 2.6 “qualified legal practitioner” means

(i) a person qualified to provide legal services to the public in England and Wales;
or

(ii) a person qualified to provide legal services to the public under the laws of any other jurisdiction who practises as such in England and Wales;

•• 2.7 “the Registrar” means the Registrar of the Court of Faculties;

• 2.8 “reserved legal activity” and “legal activity” have the meanings assigned to them by Section 12 of the Legal Services Act 2007;

• 2.9 “third party intermediary” means an individual partnership or corporate body who or which advertises, compares or provides access to the services of a notary but who is not a qualified legal practitioner and includes any individual partnership or corporate body who or which deals with the notary as agent for the client.

~~2.2~~ 2.2 for the purposes of these rules:

~~2.2.1~~ 2.2.1 a notary’s practice includes the preparation and performance of notarial acts and any other service undertaken as a notary whether or not such service may only be undertaken by a notary;

~~2.2.2~~ 2.2.2 for the avoidance of doubt the Interpretation Act 1978 applies to these rules as it applies to an Act of Parliament;

~~2.2.3~~ 2.2.3 reference to any other rules or regulations which govern the practice of a notary in England and Wales and made by the Master shall include any rules and regulations made in substitution therefor;

~~2.2.4~~ 2.2.4 words importing the masculine gender shall include the feminine gender

and words importing the singular shall where the context so admits include the plural and vice versa

~~PART II: PRACTICE AS A NOTARY~~

PART II: PRACTICE AS A NOTARY

3. 3. Oath of Office and Recognition of Notarial Acts

3.1 3.1 A notary shall exercise the office of public notary in accordance with the Oath or Declaration made by him at the time of the grant of his Notarial Faculty as set out in section 7 of the Public Notaries Act 1843 and shall offer appropriate notarial services to any person lawfully and reasonably requiring the same.

3.2 3.2 A notary in possession of a valid practising certificate issued pursuant to the Notaries (Practising Certificate) Rules 2012 may issue notarial acts in the public or private forms intended for use in England and Wales and in any other jurisdiction.

4. 4. General Principles

~~4.1~~ 4.1 Without prejudice to rule 3.1 above a notary shall exercise his office at all times in accordance with the principles set out below and these rules shall be read in accordance with such principles.

~~4.2~~ 4.2 A notary shall:

~~4.2.1~~ 4.2.1 uphold the rule of law and the proper administration of justice;

~~4.2.2~~ 4.2.2 act with integrity;

~~4.2.3~~ 4.2.3 maintain his independence and impartiality;

~~4.2.4~~ 4.2.4 provide a prompt and proper standard of service for all clients;

~~4.2.5~~ 4.2.5 act in a way that maintains the trust in the office of notary which the public may reasonably expect;

~~4.2.6~~ 4.2.6 comply with all legal and regulatory obligations and cooperate with the Master and any persons or body appointed by him in exercise of the Master's regulatory functions;

~~4.2.7~~ 4.2.7 operate his notarial practice in accordance with proper governance and sound financial and risk management principles; and

~~4.2.8~~ 4.2.8 operate his notarial practice in such a way as to provide equality of opportunity and respect for diversity.

5. 5. Code of Practice

~~5.1~~ 5.1 A notary shall at all times have regard to any code or codes of practice approved by the Master from time to time.

~~5.2~~ 5.2 Failure to comply with this rule may amount to "Notarial Misconduct" as defined by rule 2 of the Notaries (Conduct and Discipline) Rules 2015.

6. 6. Bankruptcy and Conviction or Charge

6.1 A notary who is bankrupt may not practise as a notary on his own behalf or as the sole member of a professional partnership until he is discharged from bankruptcy, provided that this rule shall not prevent him from practising as the employee of another notary.

6.2 A notary who (whether in England and Wales or elsewhere) is convicted of an offence or is charged with committing an offence or who is declared bankrupt shall be under a duty, within the period of twenty-eight days following the conviction or arrest or the

declaration of bankruptcy, to inform the Registrar.

7. 7. Obtaining Instructions

_____ A notary shall not directly or indirectly obtain or attempt to obtain instructions for professional work or permit another person to do so on his behalf, or do anything in the course of practising as a notary, in any manner which compromises or impairs or is likely to compromise or impair any of the following:

- 7.1 7.1 the principles;
- 7.2 7.2 a person's freedom to instruct a notary of their choice;
- 7.3 7.3 the notary's ability to act in the best interests of the client;
- 7.4 7.4 the good repute of the notary or of the notarial profession;
- 7.5 7.5 the notary's proper standard of work;
- 7.6 7.6 the notary's duty of care to persons in all jurisdictions who may place legitimate reliance on his notarial acts.

8.—Duty to inform instructing person of right to complain

8. Information to be provided on receiving instructions

8.1 When a notary accepts instructions from a client for professional work or changes the terms on which he is acting he must as soon as reasonably practicable provide the client in writing with ~~a copy~~;

8.1.1 price information in accordance with rule 8.2;

8.1.2 service information including a brief outline of the service the notary will be providing setting out the key stages of the work (if more than one) and the likely timescales for each key stage;

8.1.3 redress information setting out the sum insured under the notary's professional indemnity policy;

~~8.1~~ 8.1.4 complaint information using the form of words prescribed by the Master from time to time (the "prescribed form of words") which explains that the client has a right to make a complaint under Part III of the Notaries (Conduct and Discipline) Rules 2015 and how to make such a complaint; and

~~The prescribed form~~ 8.1.5 regulatory information confirming that the notary is 'Regulated by the Master of words the Faculties through the Faculty Office of the Archbishop of Canterbury'

and such other information as may be prescribed in rules or orders of the Master made under this sub-rule.

8.2 A notary may charge a professional fee for all notarial work undertaken by him (whether for a reserved legal activity or other legal activity) and upon receiving any new instruction from a client the notary must confirm:

8.2.1 either

(a) the amount of a fixed fee to be charged for the work done; or

(b) the basis upon which the fee will be calculated and a proper estimate of the fee likely to be charged for the work done;

8.2.2 the services which are covered by the fee or fee estimate quoted and (if applicable) details of any additional work required to complete the work but which the client (or other agent) will need to, or has indicated that he intends to, undertake himself;

8.2.3 the likely cost of all disbursements to be charged to the client together with an explanation of all such disbursements;

8.2.4 the total amount of Value Added Tax to be charged on the fee and such of the disbursements as attract Value Added Tax; and

8.2.5 a brief explanation of any circumstances which are likely to give rise to a variation in the fee or fee estimate and/or disbursements quoted.

8.2 8.3 The information required to be provided by rule 8.1 may be provided to the client electronically.

8.4 Nothing in this rule shall require a notary to supply a client with the information required by rule 8.1 on each occasion where the notary is instructed by a client from whom the notary receives regular instructions or with whom the notary has a service agreement for the supply of notarial services on a continuing basis

9. 9. Conflicts of Interest

9.1 9.1 Conflicts of Interest (General)

9.1.1- In the conduct of his practice a notary shall not favour the interests of one client over those of another and shall not favour his own interests or those of any other person over those of his clients.

9.2 9.2 Conflicts of Interest (Conveyancing Transactions)

9.2.1 9.2.1 A notary conducting a conveyancing transaction in the capacity of a solicitor, or a licensed conveyancer, or member of another professional body with an approved regulator, is subject to the rules and any guidance relating to (a) conflicts of interest and (b) relations with third parties laid down by the approved regulator of that professional body, and should comply with such rules and have regard to any such guidance accordingly.

9.2.2 9.2.2 A notary conducting a conveyancing transaction in the capacity of a

notary must not act for both seller and buyer in a transaction relating to property situated in England and Wales unless:

- (a) (a) the notary is satisfied that no conflict of interest exists or is likely to arise during the course of the transaction, whether or not the transaction is between parties at arm's length; and
- (b) (b) both parties are established clients in that they have instructed the notary on previous occasions; or

- ~~(c)~~ (c) the consideration does not exceed £10,000 in an individual transaction; and
- ~~(d)~~ (d) both clients are informed of the advantages of separate representation before they give their written consent to the notary acting for both of them; and
- ~~(e)~~ (e) both parties consent in writing.

~~9.2.3~~ 9.2.3 For the avoidance of doubt this rule shall apply to a notary acting for one party in his capacity under rule 9.2.1 and another party in his capacity under rule 9.2.2.

~~9.3~~ 9.3 Relations with third parties

~~9.3.1~~ 9.3.1 A notary shall not communicate directly by any means whatsoever with any other party to a conveyancing transaction where that party is represented by a lawyer except:

- ~~(a)~~ (a) to obtain information about the name and address (including e-mail address) of that lawyer; or
- ~~(b)~~ (b) with the consent of that lawyer; or
- ~~(c)~~ (c) after notifying the lawyer of the intention to contact the party direct because the other party's lawyer has refused or without good reason failed to pass on messages or to reply to communications; or
- ~~(d)~~ (d) in exceptional circumstances where it is impracticable to contact that party's lawyer;

_____ provided that any communication under (a) to (d) of this rule shall be in writing.

~~9.3.2~~ 9.3.2 A notary who is dealing with any unrepresented party to a conveyancing transaction must not take unfair advantage of that party, and where it is necessary for practical reasons to communicate orally with an unrepresented party the notary should immediately thereafter make a written note of the communication and should as soon as possible confirm the substance of it in writing to the unrepresented party.

~~9.4~~ 9.4 Conflicts of Interest (notarial activities other than conveyancing transactions)

~~9.4.1~~ 9.4.1 In respect of notarial activities other than conveyancing transactions, a notary may act for both parties to a transaction but only if:

- (a) (a) each party has consented in writing to the notary so acting;
and
- (b) (b) the notary is satisfied that there is no conflict of interest between the parties.

~~9.4.2~~ 9.4.2 For the avoidance of doubt a notary does not act for both parties to a transaction merely by preparing or authenticating a notarial act in his capacity as a public certifying officer even though that act may concern two or more parties.

10. 10. **Duty to Act Impartially in respect of Notarial Acts**

A notary must act impartially and in particular must not perform any notarial act which involves or may affect:

~~10.1~~ 10.1 his own affairs, including matters in which he is personally interested jointly with another person;

~~10.2~~ 10.2 the affairs of his spouse or partner or a person to whom the notary is engaged to be married (for the purpose of this sub-rule, “partner” means a person with whom the notary cohabits or with whom he has a sexual relationship and includes a partner of the same sex);

~~10.3~~ 10.3 the affairs of a person to whom he is directly and closely related;

~~10.4~~ 10.4 the affairs of a person with whom he is in a professional partnership or by whom he is employed or from whom he receives a benefit by being provided with office accommodation or other facilities for his notarial practice;

~~10.5~~ 10.5 the affairs of a person who has appointed the notary to be his attorney which concern a matter within the scope of the power of attorney granted;

~~10.6~~ 10.6 the affairs of a trust of which he is a trustee or of an estate where he is a personal representative of the deceased;

~~10.7~~ 10.7 the affairs of a body corporate of whose board of directors or governing body he is a member;

~~10.8~~ 10.8 the affairs of an employee of the notary;

~~10.9~~ 10.9 the affairs of a partnership of which he is a member or of a company in which the notary holds shares either exceeding five percent of the issued share capital or having a market value exceeding such figure as the Master may from time to time specify.

11. 11. **Employed Notaries**

~~11.1~~ 11.1 Save as permitted by rule 11.2 a notary who is the employee of a non-notary shall not perform any notarial act as part of his employment or do or perform any notarial act for his employer or his employer's holding, associated or subsidiary company.

~~11.2~~ 11.2 A notary may act for a person who is also the client of the qualified legal practitioner or firm of qualified legal practitioners by which he is employed but he shall take all proper and reasonable steps in the exercise of his notarial practice to maintain his independence of his employer and in particular he shall:

11.2.1 ensure that his independence and integrity as a notary is fully recognised in writing in any contract of employment entered into by him; and

11.2.2 annually send to his employer a written statement of professional independence in a form approved by the Master from time to time, and shall declare in his application for a notarial practising certificate that he has complied with this rule.

~~12.~~ 12. Language

~~12.1~~ 12.1 Notarial acts shall normally be drawn up in the English language.

~~12.2~~ 12.2 A notary may upon request or in appropriate circumstances prepare a notarial act in a language other than English if he has sufficient knowledge of the language concerned.

~~12.3~~ 12.3 A notary may not authenticate by means of a notarial act a document drawn up in a language other than English unless he has satisfied himself as to its meaning but this does not prevent a notary from authenticating the execution or signature of a document in any language.

~~12.4~~ 12.4 A notary may not certify the accuracy of a translation that has been made by someone other than himself unless he has knowledge of the language sufficient to satisfy himself as to the accuracy of the translation but this does not prevent a notary from attesting a translator's affidavit or authenticating a verification.

~~13.~~ 13. Undertakings

~~13.1~~ 13.1 Any notary giving an undertaking, whether oral or in writing, shall be personally liable for that undertaking, and the implementation of any such undertaking is required as a matter of conduct. Save in exceptional cases a failure by a notary to honour an undertaking will constitute Notarial Misconduct as defined in rule 2 of the Notaries (Conduct and Discipline) Rules 2015.

~~13.2~~ 13.2 An undertaking given by a notary in writing or confirmed in writing shall be

signed by the notary giving it.

14. 14. Publicity, Websites and Third Party Intermediaries

14.1 A notary may advertise his practice and seek to obtain directly or indirectly clients and business in any manner and through any medium whether informative or promotional (with the exception of unsolicited telephone calls or unsolicited visits to persons or organisations) provided that:

~~14.1~~ 14.1.1 the principles are upheld;

~~14.2~~ 14.1.2 the client's freedom to instruct a qualified person of the client's choice is not thereby unduly restricted;

~~14.3~~ 14.1.3 the notary's good reputation for integrity and professional standards of work is not thereby damaged;

~~14.4~~ 14.1.4 he complies with any relevant non-statutory code of advertising standards and practice currently in force;

14.1.5 any communication in writing including by electronic means shall include the regulatory information set out at rule 8.1.5 provided that this requirement shall not extend to an entry in any directory which lists solely the name and contact details of the notary;

but nothing in this rule shall be construed as authorising the use of the word-"notary" or any word designating or indicating notarial services in any publicity for activities which are not a reserved legal activity or a legal activity or otherwise of a notarial nature.

14.2 If a notary has a website any such site shall comply with rule 14.1 above and additionally shall include as a minimum the following information:

14.2.1 the basis upon which the notary calculates his fees for his services (price information);

14.2.2 a brief outline of the services the notary provides (both reserved legal activities and other legal activities) setting out the key stages of the work (if more than one) and the normal timescales for each key stage (service information);

14.2.3 the level of insurance which the notary carries under his professional indemnity policy (redress information);

14.2.4 confirmation that the notary is covered by a formal complaints procedure in the event that a client is dissatisfied with the service provided and an explanation of how to make such a complaint (complaint information); and

14.2.5 confirmation that the notary is 'Regulated by the Master of the Faculties through the Faculty Office of the Archbishop of Canterbury' (regulatory information).

14.3 Whether or not a notary has a website the information set out in rule 14.2 shall be made available in writing to a client or potential client upon request.

14.4 If a notary also practises as an authorised legal practitioner of another profession in

his own account (and for some areas of his practise is regulated by another approved regulator) or is a partner, member, director, employee or consultant of a firm of authorised legal practitioners and his services as a notary are included on a website owned or managed by such a firm he must ensure that the section(s) of the site concerning the functions discharged by him as a notary comply in all respects with the provisions of rule 14.2.

14.5 If a notary opts to engage with third party intermediaries (whether online or otherwise) in order to advertise his practice or to obtain directly or indirectly clients and business or his practice it shall be the responsibility of the notary to ensure:

14.5.1 that the information provided by such third party intermediary is accurate and complies with rule 14.1; and

14.5.2 that upon receipt of any instruction received through or as a result of such engagement the client is provided with:

(a) the information required by rule 8.1 direct by the notary himself; and

(b) details of any commission, referral fee or benefit payable by or to the notary in accordance with rule 16.1 and the notary shall ensure that he and the third party intermediary comply with rule 16 in all respects

And for the avoidance of doubt the client shall at all times be the person for whom the reserved legal activity or legal activity is carried out and not the third party intermediary himself or itself.

15. 15. **Scrivener Notaries**

No notary shall describe himself professionally as a Scrivener or a Scrivener notary unless he holds the qualifications to practise as a Scrivener notary from time to time prescribed by the Incorporated Company of Scriveners.

16. 16. **Introductions and Referrals**

When a notary enters into an arrangement with another person for the introduction of clients to the notary or by the notary to the other person he must ensure:

~~16.1~~ 16.1 that the client is informed in writing of the arrangement and of any commission or other benefit the notary may be receiving or pay;

~~16.2~~ 16.2 that he either obtains the client's written agreement as to the destination of the commission or accounts to the client for the commission;

~~16.3~~ 16.3 that he remains able to advise the client independently in accordance with these rules and continues to do so regardless of his own interests.

17. 17. **Offering Services other than as a Notary**

~~17.1~~ 17.1 Where a notary by himself or with any other person operates, actively participates in or controls any business, other than a notary's practice, the notary shall ensure:

~~17.1.1~~ 17.1.1 that the name of that business has no substantial element in common with the name of any practice of the notary;

~~17.1.2~~ 17.1.2 that the words "notary", "notaries," "attorney(s)" or "lawyer(s)" or any words designating or indicating a notarial or legal practice are not used in connection with the notary's involvement with that business;

~~17.1.3~~ 17.1.3 that any client referred by any practice of the notary to the business is informed in writing that, as a customer of that business, he does not enjoy any protection attaching to the client of a notary, and that where that business shares premises or reception staff with any practice of the notary, every customer of the business is informed in writing that, as a customer of that business, he does not enjoy the protection attaching to the client of a notary.

~~customer of that business, he does not enjoy the protection attaching to the client of a notary.~~

~~17.2~~ 17.2 Rule 17.1 does not apply to the practice of a qualified legal practitioner.

18. Fees

~~18.1~~ ~~A notary may charge a professional fee for all notarial work undertaken by him, and the basis upon which that fee will be calculated or the fee to be charged for the work done, shall be made known in advance to any new client.~~

18. Fee Sharing

18.1

~~18.2~~ 18.1 Subject to rule 18.2 and 18.3 and ~~18.4~~ below a notary shall not share or agree to share his professional fees with any person not entitled to act as a notary; provided that this rule shall not prohibit the payment of any allowance or allowances, sum or sums of money, that are or shall be agreed to be made or paid to the widows or children of any deceased notary or notaries, by any surviving partner or partners of such deceased notary or notaries.

~~18.3~~ 18.2 A notary who also practises as a qualified legal practitioner either in a professional partnership firm or as an employee may share professional fees provided that: _

~~18.3.1~~ 18.2.1 his professional partners or employer are also qualified legal practitioners;

~~18.3.2~~ 18.2.2 the notary shall keep accounts which enable the income and expenditure arising from his practice as a notary to be distinguished from the income and expenditure arising from his practice or employment as a qualified legal practitioner; and

~~18.3.3~~ 18.2.3 shall furnish the Faculty Office with such additional information as to his professional partnership and accounting arrangements or his employment as may be prescribed in rules or orders of the Master.

~~18.4~~ 18.3 A notary who practises as such within or on behalf of a limited company or limited liability partnership may share his professional fees, or collect them through, that company or partnership provided that the equity of that company or partnership is wholly owned by the notary or notaries who are the directors or partners of the company or partnership.

19. 19. **Name of a Notary's Practice**

~~19.1~~ 19.1 A notary shall notify the Registrar of the name under which he practises, or the firm of notaries within which he practises:

~~19.1.1~~ 19.1.1 at the time of his admission;

~~19.1.2~~ 19.1.2 at any time the name is to change; and

~~19.1.3~~ 19.1.3 annually when he applies for a practising certificate pursuant to ~~Rule~~rule 4 of the Notaries (Practising Certificates) Rule 2012.

~~19.2~~ 19.2 A notary shall not practise under a name which is likely to mislead (whether

intentionally or unintentionally) or bring the notarial profession into disrepute.

20. 20. Investment Business

~~[This rule came into force by Order of the Master made on 20 August 2014]~~

~~20.1~~ 20.1 In this rule “appointed representative”, “investment” and “regulated activity” have the meanings assigned to them by the Financial Services and Markets Act 2000 and the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 as extended by the Financial Services Act 2012

~~20.2~~ 20.2 A notary shall not in connection with any regulated activity:

~~20.2.1~~ 20.2.1 have an exclusive arrangement with a provider of financial services nor with a provider of financial services advice (whether of independent advice or restricted advice or both) under which the notary could be constrained to recommend, introduce or refer clients or effect for them (or refrain from so doing) transactions or contracts:

~~a.~~ a. in some investments or markets but not others;

~~b.~~ b. with some persons or companies but not others;

~~c.~~ c. through the agency of some persons or companies but not others.

~~20.2.2~~ 20.2.2 be an appointed representative.

~~20.3~~ 20.3 Notwithstanding any provision in rule 17 a notary shall not by himself or with any other person set up, operate, actively participate in or control any separate business which is an appointed representative.

~~20.4~~ 20.4 For the avoidance of doubt a notary shall comply with this rule in connection with regulated activity carried on within England and Wales and in any other jurisdiction

21. 21. Supervision of a Notary’s Office

~~21.1~~ 21.1 A notary shall take reasonable steps to ensure that every office where he practises is and can be seen to be:

~~21.1.1~~ 21.1.1 open, save exceptionally and for a good reason, during normal office hours for the provision of appropriate notarial services to members of the public; and

~~21.1.2~~ 21.1.2 properly supervised.

In particular a notary shall ensure that he or another notary holding a Practising Certificate shall spend sufficient time at such office to ensure adequate control of the staff employed there and afford requisite facilities for consultation with clients. Such notary may be a principal, employee or consultant of the firm or a locum tenens.

~~consultant of the firm or a locum tenens.~~

~~21.2~~ 21.2 In determining whether or not there has been compliance with the requirement as to supervision in rule 21.1, account shall be taken of, inter alia, the arrangements for the principals to see or be apprised of incoming communications.

~~21.3~~ 21.3 Where the operation or supervision of a notary's office in accordance with this rule is prevented by illness, accident or other sufficient or unforeseen cause for a prolonged period, suitable alternative arrangements shall be made without delay to ensure compliance.

~~21.4~~ 21.4 In cases where a notary is not in attendance on days when his office is normally open to the public, he shall make adequate arrangements to ensure the provision of notarial services to persons requiring the same.

~~21.5~~ 21.5 A notary shall not employ within his professional practice a person who is, or has been, a member of a Specified Profession within the meaning of rule 24 and the Schedule to the Notaries (Conduct and Discipline) Rules 2015 without the express written permission of the Registrar where that person has had a finding of professional misconduct made against him by the Relevant Body of the Specified Profession.

~~22.~~ 22. Continuing Professional Education

~~22.1~~ 22.1 After commencing practice and having satisfactorily completed the required period of supervision, a notary shall, within every such successive period as shall be determined by the Master, participate in such programmes, courses or seminars approved by the Master as may be necessary to acquire the number of credit points determined by the Master.

~~22.2~~ 22.2 Upon determination by the Master of the periods and number of credit points, they shall be included in regulations made by the Master under this rule from time to time.

~~PART III: RECORDS AND INSPECTIONS~~

23 Acting as a Commissioner for Oaths

23 Where a notary is instructed by a Client to act as a Commissioner for Oaths only and for which the statutory fee in force from time to time is to be charged the rules 8, 18 and 24 shall not apply to such instruction.

PART III: RECORDS AND INSPECTIONS

~~23.~~ 24. Duty to Keep Records

~~23.1~~ 24.1 A notary shall keep proper records of his notarial acts in accordance with this rule.

~~23.2~~ 24.2 The records so kept must clearly identify:

~~23.2.1~~ 24.2.1 the date of the act;

~~23.2.2~~ 24.2.2 the person at whose request the act was performed;

~~23.2.3~~ 24.2.3 the person or persons, if any, intervening in the act and, in the case of a person who intervened in a representative capacity, the name of his principal;

~~23.2.4~~ 24.2.4 the method of identification of the party or parties intervening in the

notarial act, and in the case of a party intervening in a representative capacity, any evidence produced to the notary of that party's entitlement so to intervene;

~~23.2.5~~ 24.2.5 the nature of the act;

~~23.2.6~~ 24.2.6 the fee charged.

~~23.3~~ 24.3 In the case of a notarial act in the public form, the notary shall place an original of the act or a complete photographic copy of the same in a protocol which shall be preserved permanently by the notary and for the avoidance of doubt such preservation may be by means of a suitable digital or other electronic system providing for the storage of documents in an indelible and unalterable format.

~~23.4~~ 24.4 Records of acts not in public form kept in accordance with rule ~~23~~24.2 shall be preserved for a minimum period of twelve years and for the avoidance of doubt such preservation may be by means of a suitable digital or other electronic system providing for the storage of documents in an indelible and unalterable format.

~~23.5~~ 24.5 A notary who preserves records by means of a digital or other electronic system in accordance with rules ~~23~~24.3 and ~~23~~24.4 shall notify the Registrar of any username and password required for access to such digital or electronic system and the Registrar shall keep such information confidential.

~~23.6~~ 24.6 A copy of a notarial act or of the record of a notarial act preserved in accordance with rules ~~23~~24.3 and ~~23~~24.4 shall, upon payment of a reasonable fee, be issued upon the application of any person or authority having a proper interest in the act unless prevented by order of a competent court.

~~23.7~~ 24.7 Any question as to whether a person has a proper interest in an act for the purposes of rule ~~23~~24.6 shall be determined by the Master.

24. 25. Inspections of Records and Practice

~~24.1~~ 25.1 _____ A notary's premises, records and practice may be inspected from time to time on behalf of the Master and as directed by him

~~24.2~~ 25.2 _____ The records which may be inspected in accordance with rule ~~24~~25.1 shall include all documents in the notary's possession relating in any way to his practice as a notary, whether or not they also relate to non-notarial matters, and shall include

documents stored by means of a digital or other electronic system.

~~24.3~~ 25.3 Copies of documents inspected in accordance with rule ~~24~~25.1 may be taken for onward transmission to the Master where requested by the person carrying out the inspection.

~~24.4~~ 25.4 Inspections shall be carried out in accordance with regulations to be made by the Master from time to time under this rule.

~~25.~~ 26. Notaries Ceasing to Practise

~~25.1~~ 26.1 When a notary ceases to practise as such then he, or failing him his continuing notarial partners or the person having possession or custody of the records maintained by him pursuant to rule ~~2324~~, shall arrange for such records to be transferred:

~~25.1.1~~ 26.1.1 to another notary in practice appointed by him or by his continuing notarial partners;

~~25.1.2~~ 26.1.2 to another notary in practice appointed, with the approval of the Master, by the persons having possession or custody of the records;
or

~~25.1.3~~ 26.1.3 to any archive designated for the purpose under regulations made by the Master from time to time;

and the persons making such transfer shall give written particulars to the Registrar of the date of transfer and the person or archive to which the records were transferred.

~~252~~ 26.2 The provisions of rules ~~2324~~ and ~~2425~~ shall apply to a notary or archive to which the records of any notary are transferred pursuant to this rule as they apply to the notary himself.

~~26~~ 27 Application to Ecclesiastical Notaries

The provisions of this Part shall apply to notaries appointed for ecclesiastical purposes only subject to the following modifications:

~~261~~ 27.1 The requirement of rule ~~2324~~ to keep a record of notarial acts shall apply only to such ecclesiastical acts as law or custom requires to be performed in the presence of a public notary and recorded in writing.

~~262~~ 27.2 Any act or transaction properly recorded in the Act Book of any Archbishop or Bishop, or in the Minute Book of any Cathedral Chapter, shall be deemed to have been properly recorded in accordance with rule ~~2324~~.

~~263~~ 27.3 Rule ~~2526~~ shall not apply to ecclesiastical notaries, but upon a person ceasing for any reason to hold the office in respect of which he was appointed an ecclesiastical notary, any records kept by him pursuant to this Part shall be transferred to the succeeding holder of that office (being an ecclesiastical notary) upon his appointment.

~~PART IV: MISCELLANEOUS~~

PART IV: MISCELLANEOUS

~~27~~ 28 **Waivers**

The Master shall have power to waive any of the provisions of these rules in any particular case or classes of case for the purpose expressed in such waiver, and to revoke such waiver.

~~28~~ 29 **Repeals and Savings**

~~281~~ 29.1 Subject to rule ~~2829~~.2 the Notaries Practice Rules ~~2009~~, with the exception of ~~Rule 17 thereof, 2014~~ are hereby revoked. [~~NPR2009 Rule 17 was revoked by an Order of the Master dated 20 August 2014~~]

~~282~~ 29.2 Rule ~~2829~~.1 does not absolve any notary from the duty to comply with the Notaries Practice Rules ~~2009~~2014 prior to the coming into force of these rules and records maintained by a notary in accordance with ~~Rules 20~~rules 23-25 of the Notaries Practice Rules ~~2009~~2014 prior to the coming into force of these rules shall continue to be so maintained by him and rules ~~23~~24.5, ~~23~~24.6, ~~24~~,~~25~~, ~~26~~ and ~~26~~27 of these rules shall apply to such records.

The Right Worshipful Charles R George, Q.C.
Master

March 2017

FACULTY OFFICE

~~We, CHARLES RICHARD GEORGE One of Her Majesty's Counsel, Commissary or Master of the Faculties of the Most Reverend Father in God JUSTIN PORTAL by Divine Providence Lord Archbishop of Canterbury Primate of All England and Metropolitan in exercise of the powers conferred by section 4 of the Public Notaries Act and section 57 of the Courts and Legal Services Act 1990 and of all other powers Us enabling and so far as We lawfully can or may do hereby ORDER that:~~

- ~~1. The Rule set out in the Schedule hereto shall be inserted into the Notaries Practice Rules 2014 as Rule 20 thereof;~~
- ~~2. This Rule shall come into force with immediate effect; and~~
- ~~3. Rule 17 of the Notaries Practice Rules 2009 is hereby revoked.~~

~~As witness Our hand this 20th day of August 2014~~

~~C R George~~

~~MASTER~~

SCHEDULE

~~20. Investment Business~~

~~20.1 In this rule “appointed representative”, “investment” and “regulated activity” have the meanings assigned to them by the Financial Services and Markets Act 2000 and the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 as extended by the Financial Services Act 2012~~

~~20.2 A notary shall not in connection with any regulated activity:~~

~~20.2.1 have an exclusive arrangement with a provider of financial services nor with a provider of financial services advice (whether of independent advice or restricted advice or both) under which the notary could be constrained to recommend, introduce or refer clients or effect for them (or refrain from so doing) transactions or contracts:~~

~~a. in some investments or markets but not others;~~

~~b. with some persons or companies but not others;~~

~~e. through the agency of some persons or companies but not others.~~

~~2022 be an appointed representative.~~

~~203 Notwithstanding any provision in rule 17 a notary shall not by himself or with any other person set up, operate, actively participate in or control any separate business which is an appointed representative.~~

~~204 For the avoidance of doubt a notary shall comply with this rule in connection with regulated activity carried on within England and Wales and in any other jurisdiction. _____~~