

SCHEDULE 3

EXCLUSIONS OF SECTION 4(2)(a) AND (b) OF THE ACT

Non-solicitor investors in licensed legal services providers

14. Any question asked by, or on behalf of, an approved regulator where it is asked for the purposes of section 62 of the Legal Services Act (fitness for involvement) in order to assess the fitness of a non-solicitor investor in a licensed legal services provider for having an interest in a licensed legal services provider.