

## DPB Reporting Form

We are committed to encouraging high standards and compliance with our rules and guidance. We understand that you have concerns that you have not complied with the [DPB Rules and Guidance](#). We therefore want to liaise with you so that the firm can put things right.

Paragraph 49(a)(v) of the Guidance to the Designated Professional Body Rules 2018 requires that firms obtain informed consent in writing from the client before retaining any commission earned from services provided under their DPB licence. Prior to consent being obtained or the monies being remitted to the client, commission should be held in the firm's client bank account.

So that we can decide on next steps, please complete the form below:

Name of firm	
Form completed by	?
1. Have you produced a schedule of the amount of commission received?	?
2. Have you checked whether you have informed consent to retain the commission?	
3. How much commission has the firm retained without the informed consent of its client(s)?	
4. How much has the firm transferred or is able to transfer to the client account?	
5. Is there anything preventing the firm from transferring the equivalent amount of money to the client account?	?
6. What steps is the firm taking to put things right?	
7. What date does the firm think that it will have put things right by?	?
8. Has the firm changed its processes, systems and/or offered additional training to staff? If so, what are these changes?	
9. Are there any challenges or risks which means that the firm might not be able to put things right?	

## **How the information will be used**

The information will be used to assess whether we need to take any steps to achieve compliance with the rules and guidance. We will take into account how to best protect the public interest when considering this.

The outcome of the assessment may be that we offer the firm advice on how to comply and monitor the firm's efforts to put things right. In some cases, we may refer this matter for further investigation which could include a regulatory review visit. In the most serious cases we may take disciplinary action.

## **Help and support**

LionHeart is a charity who offers help and support to all members of RICS. Its advice and support are confidential and completely independent from RICS. The enclosed leaflet gives more information, you can also visit its website: [lionheart.org.uk](http://lionheart.org.uk).

Please let us know if you need any reasonable adjustments or if there is anything that may affect your capacity to deal with this process (e.g. a mental health problem). We can discuss what adjustment can be made.