



NEW SOUTH WALES  
BAR ASSOCIATION



## External Examiner's Report – Barrister Clause 15 – Legal Profession Uniform Law Application Regulation 2015 (NSW)

EXAMINATION REPORT DATES <sup>1</sup>	Start date	D	D	/	M	M	/	Y	Y	Y	Y
	End date	D	D	/	M	M	/	Y	Y	Y	Y

BARRISTER DETAILS <sup>2</sup>	
Name of barrister	
Practice address	

SCOPE
The procedures to be adopted by the external examiner to complete this report are to be sufficient to enable the external examiner to form an opinion as to the barrister's compliance with clause 15 of the Legal Profession Uniform Law Application Regulation 2015 (NSW) ("the LPULAR").

TRUST MONEY ACCOUNT PARTICULARS <sup>3</sup>
<b>Trust money account particulars</b> The details of the trust money account examined are set out follows:  Account name: BSB: Account number:

1. OPINION - EXAMINATION OF RECORDS		
I have conducted an examination of the records relating to the trust money account (including the records referred to in clause 15 of the LPULAR of the barrister based on appropriate examination and sample techniques for the year ending 31 March 2024.	Yes	No
<b>If NO, please disclose in item 4 – Opinion – Final Comments</b>		

2. OPINION - PRODUCTION OF RECORDS		
I am of the opinion that all necessary trust records were produced to me as requested for the purpose of the external examination and the records were kept in a way that enables them to be conveniently externally examined.	Yes	No
<b>If NO, please disclose in item 4 – Opinion – Final Comments</b>		

<sup>1</sup> Insert dates.

<sup>2</sup> Insert details of the barrister.

<sup>3</sup> Insert details if more than one trust money account was examined.

<b>3. OPINION - EXAMINATION OF RECORDS</b>			
After reviewing the breaches noted in Schedule 1 of this report and based on the results of my examination, I am of the opinion that:			
(i) the requirements of clause 15(2)(a) of the LPULAR	Have	Have Not	Not Applicable
(ii) the requirements of clause 15(2)(b) of the LPULAR	Have	Have Not	Not Applicable
(iii) the requirements of clause 15(2)(c) of the LPULAR	Have	Have Not	Not Applicable
(iv) the requirements of clause 15(2)(d) of the LPULAR	Have	Have Not	Not Applicable
(v) the requirements of clause 15(2)(e) of the LPULAR	Have	Have Not	Not Applicable
(vi) the requirements of clause 15(2)(f) of the LPULAR	Have	Have Not	Not Applicable
(vii) the requirements of clause 15(2)(g) of the LPULAR	Have	Have Not	Not Applicable
been complied with in accordance with the provisions of the LPULAR.			
<b>If any of the answers above are “have not” or “not applicable” please disclose in item 4 – Opinion – Final Comments</b>			

<b>4. OPINION - FINAL COMMENTS</b>		
Is there any information, which has not been included in Schedule 1 that needs to be drawn to the attention of the Bar Council (or its delegate)?	Yes	No
<b>If YES, please provide further information below</b>		

<b>5. OPINION - DISCLAIMER</b>
<input type="checkbox"/> I acknowledge that the Bar Council (or its delegate) will rely on the information contained in this external examiner’s report. I disclaim any assumption of responsibility for any reliance on this external examiners report by any person other than the Bar Council (or its delegate) or any purpose other than that for which it was prepared.

<b>SCHEDULE 1 – BREACHES OF LEGISLATION</b>				
Section of Act/Rule	Description of Act/Rule	Extent of breach	Explanation by the barrister	Steps taken by the barrister to rectify the breaches

Note: A description of the breach/es should include the following particulars:

- the relevant client name/s
- the matter/s to which the payments related
- the sum/s involved in each transaction
- the date of deposit of the relevant payment/s

- the bank account/s the payments were deposited to
- the date on which the payment/s were transferred to the trust money account or elsewhere as applicable
- how and when the breach/es occurred, any explanation/s provided by the barrister with respect to the breach/es, and any outcomes and/or changes to the barrister's practices as a result of the breach/es being identified in this report

**CERTIFICATION**

I confirm that I am:

- \_\_\_\_\_ - External examiner name
- \_\_\_\_\_ - Accounting firm name
- \_\_\_\_\_ - External examiner ID #
- \_\_\_\_\_ - External examiner address
- \_\_\_\_\_ - External examiner telephone number
- \_\_\_\_\_ - External examiner email address

who meets the criteria for appointment as an external examiner within the meaning of rule 65 of the Uniform Rules and		
has successfully completed a course of education approved by the Legal Services Council	Yes	No
is a member of CPA Australia holding a current Public Practising Certificate	Yes	No
is a member of Chartered Accountants Australia and New Zealand holding a current Certificate of Public Practice	Yes	No
is a member of Institute of Public Accountants holding a current Professional Practice Certificate	Yes	No
is a person registered as an Auditor under Part 9.2 of the <i>Corporations Act 2001</i> (Cth)	Yes	No
is an employee or agent of the designated local regulatory authority (or its delegate)	Yes	No

By submitting<sup>4</sup> this completed External Examiner's Report – Barrister including Schedule 1 – Breaches of Legislation, I am certifying that the answers in the certification are true to the best of my knowledge and belief.

Certified on DD/MM/YYYY

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<sup>4</sup> **Completed examination reports for barristers should be submitted to the NSW Bar Association** by the external examiner by email to [pcc@nswbar.asn.au](mailto:pcc@nswbar.asn.au). A completed copy of this report and any report documentation should be retained by the external examiner as part of their work papers.