



# Law Firm Self-Report

## User Guide

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Trust Safety

March 10, 2021



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## Background

Rule 119.30(3) requires law firms to provide a completed Law Firm Self-Report to the Law Society of Alberta on an annual basis. The report is proof of compliance with Part 5 of the Rules. Law firms provide details regarding their practice, trust accounting and other related activities during the preceding year in this report. Usually, one Self-Report will be completed for the practice and this will satisfy the filing requirements of all the lawyers (associates and partners) of the practice. The Responsible Lawyer is accountable for all filing requirements of the law firm, as per Rule 119.3(1).

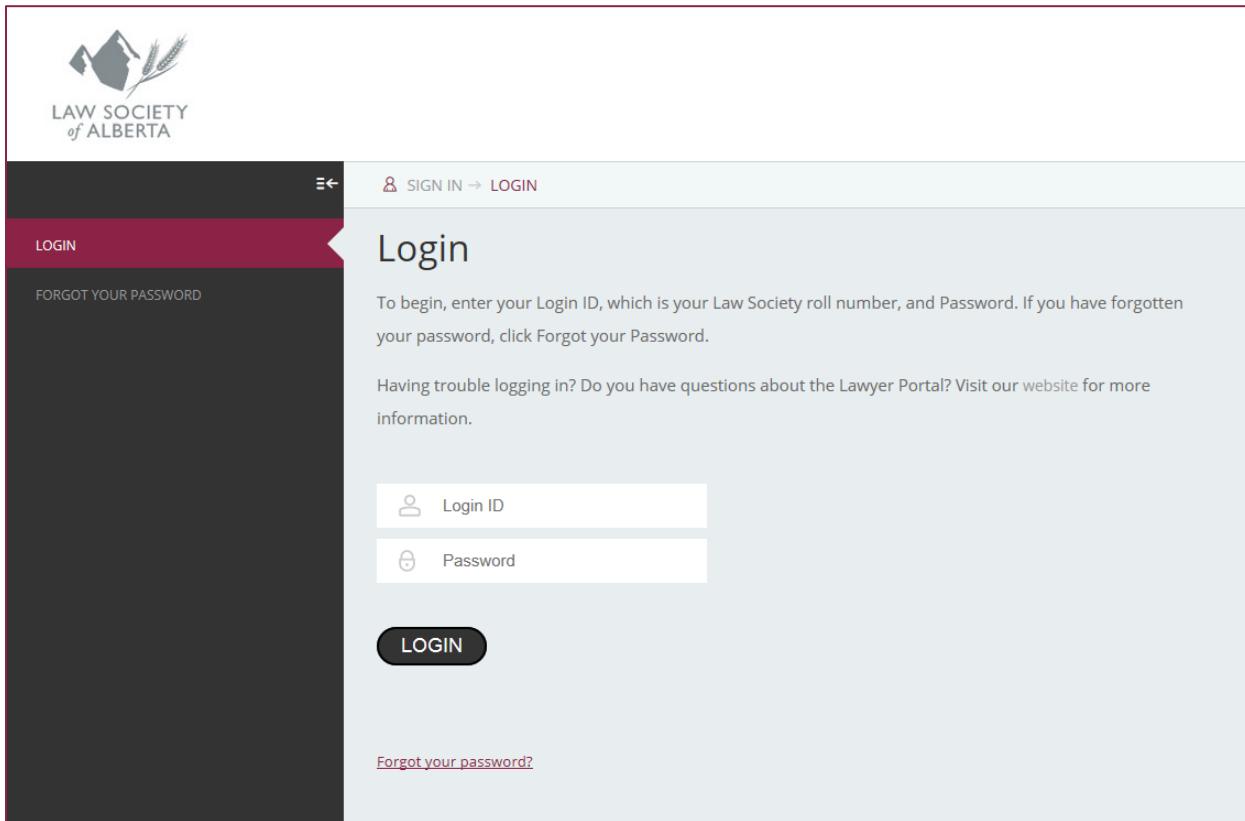
The Law Firm Self-Report provides an opportunity to ask meaningful questions to the law firm about their practice as well as their practices for bookkeeping (general and trust accounts) to assess the safety and security of trust funds. Questions asked on the Self-Report are also useful to other arms of the Law Society for regulatory purposes.

This guide provides instructions on how to complete and e-file a Self-Report online via the [Lawyer Portal](#).

## Logging In

You can log in securely to the [Lawyer Portal](#) from any computer with Internet connectivity.

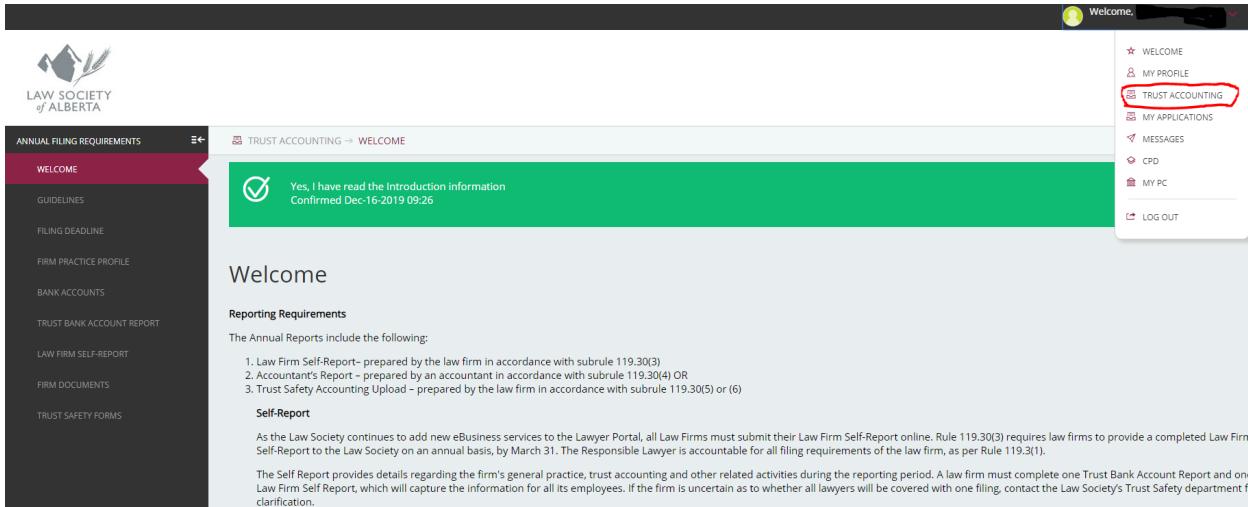
1. Open your Web browser
2. In the Address or Location field of your browser, type:  
<https://lsa.memberpro.net/main/body.cfm?menu=login>
3. The login window +should appear
4. To begin, enter your Login ID, which is your Law Society Member ID, and password
5. Click Login. The portal page should appear.



The screenshot shows the login interface for the Law Society of Alberta Lawyer Portal. The top navigation bar includes the Law Society of Alberta logo, a search icon, and links for 'SIGN IN' and 'LOGIN'. A dark sidebar on the left contains 'LOGIN' and 'FORGOT YOUR PASSWORD' buttons. The main content area is titled 'Login' and contains instructions: 'To begin, enter your Login ID, which is your Law Society roll number, and Password. If you have forgotten your password, click Forgot your Password.' Below this are two input fields: 'Login ID' (with a user icon) and 'Password' (with a lock icon). A 'LOGIN' button is positioned below the fields. At the bottom of the page is a link 'Forgot your password?'.

## Navigation

- On the Welcome page, click on the drop-down menu in the Member Account Menu and select “Trust Accounting”.



The screenshot shows the 'Welcome' page of the Law Society of Alberta website. On the left, there's a sidebar with links like 'ANNUAL FILING REQUIREMENTS', 'WELCOME' (which is highlighted in red), 'GUIDELINES', 'FILING DEADLINE', 'FIRM PRACTICE PROFILE', 'BANK ACCOUNTS', 'TRUST BANK ACCOUNT REPORT', 'LAW FIRM SELF-REPORT', 'FIRM DOCUMENTS', and 'TRUST SAFETY FORMS'. In the center, there's a green banner with a checkmark icon and the text 'Yes, I have read the Introduction information Confirmed Dec-16-2019 09:26'. Below that, the word 'Welcome' is displayed. Under 'Reporting Requirements', it says 'The Annual Reports include the following:' followed by a list of three items. At the bottom, there's a 'Self-Report' section with some explanatory text. On the right side, there's a vertical 'Member Account Menu' with options like 'WELCOME', 'MY PROFILE', 'TRUST ACCOUNTING' (which is circled in red), 'MY APPLICATIONS', 'MESSAGES', 'CPD', 'MY PC', and 'LOG OUT'.

- The Trust Accounting Menu item in the Member Account Menu is available to:
  - The current Responsible Lawyer;
  - Former Responsible Lawyers for the firm, employed at the firm as recently as three months ago; and,
  - Firm administrators.
- The Annual Filing Requirements section is located on the left-hand side of the page.
- On first entry to the Annual Filing Requirements section, the Welcome page is shown. No other Trust Safety pages can be viewed until the lawyer/firm administrator has confirmed that they have read this information.
- Trust Safety Filing Requirements** consists of four main sections. The sections that need to be completed will depend on whether the law firm operates a trust bank account.

Law Firm Situation	Firm Practice	Bank Account	Trust Bank Account	Law Firm Self-Report		
	Profile	Information	Reporting	Section A	Section B	Section C
<b>Law firm operates only a general bank account (does not receive, disburse or handle trust money)</b>	✓	✓	N/A	✓	✓	N/A
<b>Law firm operates a trust bank account</b>	✓	✓	✓	✓	✓	✓

✓ Indicates section of the Law Firm Self-Report that must be completed



6. A lawyer may be eligible to access self-reports, bank account reports and firm practice profiles for more than one firm. In this case, they can choose which firm they are working on from the list at the top of each of these pages:

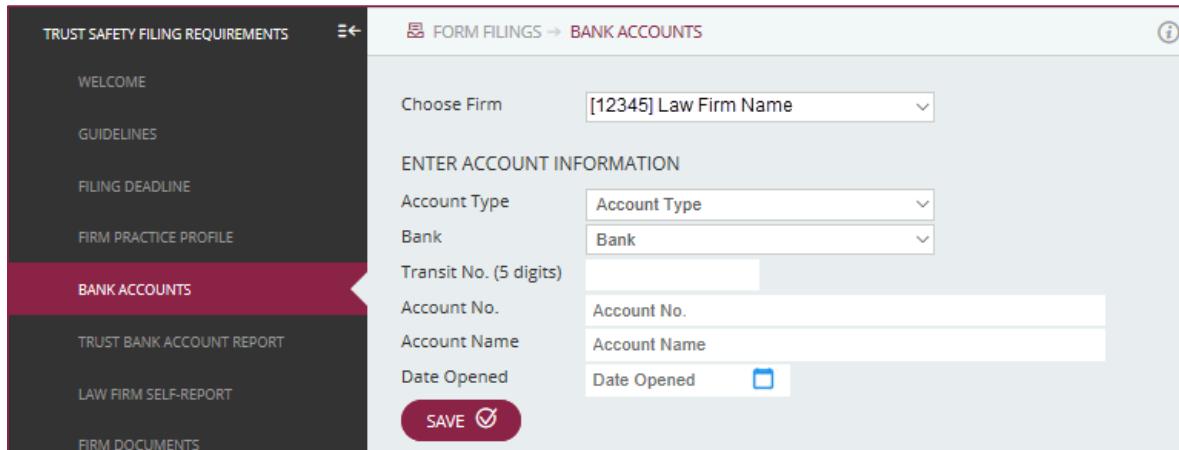
Choose Firm	[12345] Law Firm Name	<input type="button" value="▼"/>
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Once a firm has been chosen, the system will stay on that firm until the lawyer logs off.

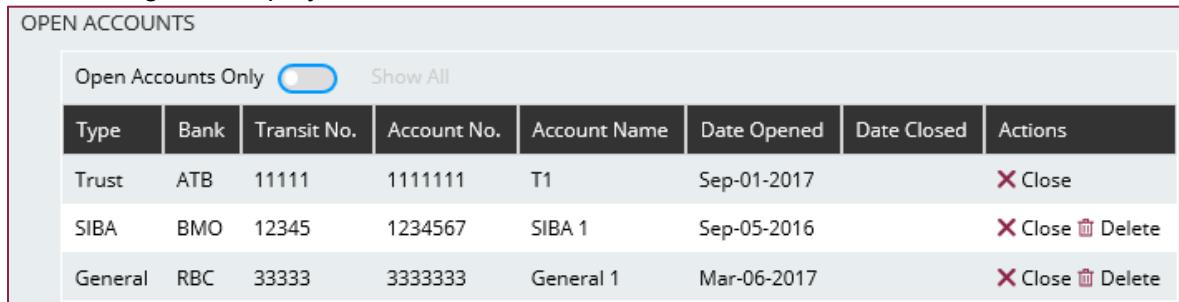
## Creating Bank Accounts

Before the Bank Account Report can be created, the bank accounts themselves must be setup, using the “Bank Accounts” menu item:

1. Enter the account information for your account, and click “Save”

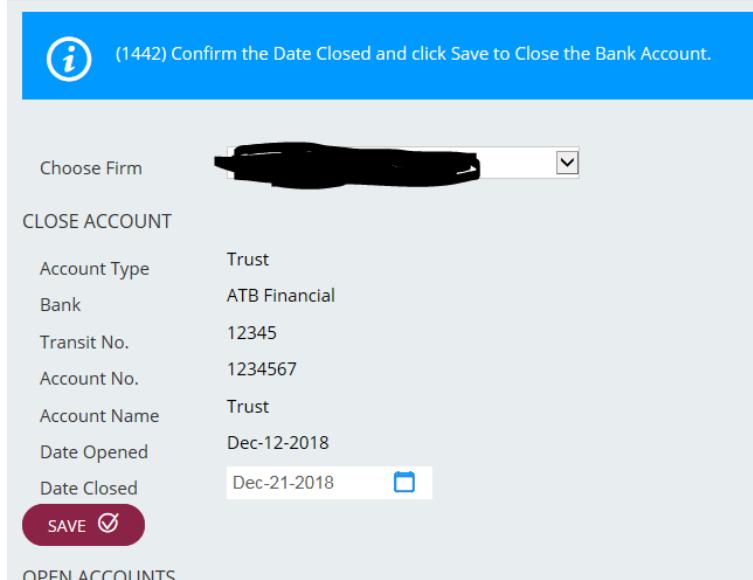


2. After saving, this displays the bank account in the list:



Type	Bank	Transit No.	Account No.	Account Name	Date Opened	Date Closed	Actions
Trust	ATB	11111	1111111	T1	Sep-01-2017		Close
SIBA	BMO	12345	1234567	SIBA 1	Sep-05-2016		Close  Delete
General	RBC	33333	3333333	General 1	Mar-06-2017		Close  Delete

3. Any bank accounts that have not been reported on can be removed by clicking on the Delete icon under the actions list.
4. Clicking on the “Close” icon will prompt you to enter the date that the trust account was closed.
5. A closed account can be reopened by clicking on the “Open” button under the actions tab.





## Trust Bank Account Reporting

The trust bank account report is required for any trust accounts that were open during the reporting period.

### Filing a Trust Bank Account Report

1. The Trust Bank Account Report page lists the available reports. Click on “Update” to view and/or update it.

The screenshot shows the "TRUST SAFETY FILING REQUIREMENTS" interface. On the left, a sidebar lists several sections: WELCOME, GUIDELINES, FILING DEADLINE, FIRM PRACTICE PROFILE, BANK ACCOUNTS, TRUST BANK ACCOUNT REPORT (which is highlighted in red), LAW FIRM SELF-REPORT, and FIRM DOCUMENTS. The main content area is titled "FORM FILINGS → TRUST BANK ACCOUNT REPORT". It shows a dropdown menu "Choose Firm" set to "[12345] Law Firm Name". Below this is a table titled "TRUST BANK ACCOUNT REPORTS" with columns: Period Start, Period End, Due Date, Status, and Actions. The data in the table is: Period Start (Jan-01-2017), Period End (Dec-31-2017), Due Date (Mar-31-2018), Status (0 of 1 - Incomplete Oct-30-2017), and Actions (a blue "Update" button). At the top of the main content area, there is a toggle switch between "Current Report" (which is selected) and "Show Report History".

2. Switch between “Current Report” and “Show Report History” to change the display to show previous reports:

Two examples of the toggle switch interface. The first example shows the "Current Report" button with a blue switch and the "Show Report History" button with a grey switch. The second example shows the "Current Report" button with a grey switch and the "Show Report History" button with a blue switch.

3. A summary of the amounts keyed is updated on saving information for each bank account.

The screenshot shows a "REPORTING SUMMARY" table. The table has four rows:

REPORTING SUMMARY	
Pooled Trust Reconciled Balance	842.56
Pooled Separate Interest Bearing Account (SIBA) Reconciled Balance	0.00
Total Client Trust Listing (CTL)	800.00
Total SIBA CTL	0.00



4. Each trust bank account that was open at any time during the reporting period is listed, and must have the information keyed.

All values are mandatory. A \$0 response is valid.

ACCOUNT 1 OF 4 TO REPORT BALANCES	
1	2
3	4
Bank Name	BNS
Transit No.	12345
Account No.	1234567
Account Name	Trust - 1
Account Type	Trust
Date Opened	Dec-03-2017
Date Closed	Dec-01-2017 <input type="checkbox"/>
REPORTED ACCOUNT BALANCES	
Total Bank Deposits for the year	110.50
Total Bank Withdrawals for the year	100.50
Dec 31 Bank Statement Balance	100.00
Outstanding Cheques as of Dec 31	0.00
Outstanding Deposits as of Dec 31	0.00
Net Adjustments	0.00
Reconciled Balance as of Dec 31	100.00
Total Client Trust Listing (CTL) as of Dec 31	90.00
OUT OF BALANCE EXPLANATION	
xxxx	<input type="button" value="^"/> <input type="button" value="v"/>

If your recorded bank balance did not balance to your total client trust listing, you are required to provide an Out of Balance explanation.

5. Before moving to the next account, **click on Save**, or the information keyed will be lost.
6. Moving from one account to another is performed by clicking on the account number. The account currently being shown is in bold.

## Account 2 of 3

You have 3 Bank Accounts Click to Report Balances 1 **2** 3



7. A bank account can be closed on this page, by choosing the date that it closed from the calendar.

ACCOUNT 1 OF 5 TO REPORT BALANCES

1	2	3	4	5	
Bank Name					
Transit No.					
Account No.					
Account Name					
Account Type					
Date Opened					
Date Closed					
REPORTED ACCOUNT BALANCES					

8. Once all accounts have been completed, the submit button is available. This will prevent the lawyer/firm administrator from being able to make any further changes to the report.

### Printing the Trust Bank Account Report

The Trust Bank Account Report can be printed by clicking on the “Print” button at the bottom of the report:

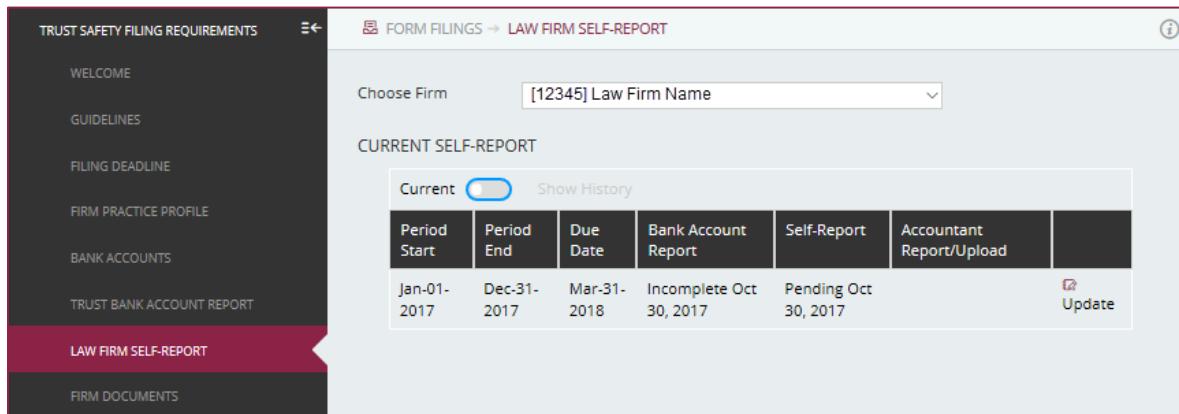
OUT OF BALANCE EXPLANATION

If your reconciled bank balance did not balance to your total client trust listing, please provide an explanation including when this was corrected.

## Law Firm Self-Report

### Starting the Self-Report

1. The Law Firm Self-Report page lists the available reports, together with the status of the three components. Click on “Update” to view and/or update it.



The screenshot shows the "LAW FIRM SELF-REPORT" section of the application. On the left, a sidebar lists various reporting requirements: TRUST SAFETY FILING REQUIREMENTS (WELCOME, GUIDELINES, FILING DEADLINE, FIRM PRACTICE PROFILE, BANK ACCOUNTS), TRUST BANK ACCOUNT REPORT, LAW FIRM SELF-REPORT (which is highlighted in red), and FIRM DOCUMENTS. The main area displays the "CURRENT SELF-REPORT" table. The table has columns for Period Start, Period End, Due Date, Bank Account Report, Self-Report, Accountant Report/Upload, and an "Update" button. The data in the table is as follows:

Period Start	Period End	Due Date	Bank Account Report	Self-Report	Accountant Report/Upload	Update
Jan-01-2017	Dec-31-2017	Mar-31-2018	Incomplete Oct 30, 2017	Pending Oct 30, 2017		

2. Switch between “Current” and “Show History” to change the display to show previous reports.



Two examples of the toggle buttons for switching between "Current" and "Show History". The first example shows "Current" selected (blue button) and "Show History" (grey button). The second example shows "Show History" selected (blue button) and "Current" (grey button).

3. The first page of the report shows the overall report information.



The screenshot shows the first page of the report for "[12345] Law Firm Name". It includes the title and a "REPORTING PERIOD" table. The table contains the following data:

Reported By	Authorized Contact
Period Start	Jan-01-2017
Period End	Dec-31-2017
Due Date	Mar-31-2018
Reporting Reason	Annual Filing
Bank Account Report	Incomplete Oct 17, 2017
Self Report	Pending Oct 17, 2017
Accountant Report/Upload	Pending Sep 19, 2017



## Types of Self-Report Questions

A number of different question types will be asked throughout the Law Firm Self-Report, including the following:

### Radio buttons

Some questions are radio button questions (i.e., only one option can be chosen). For example, Section A, question 1a.

1. a) The law firm uses the following accounting software for the trust and general bank accounts:

- PCLaw
- Esilaw
- Clio
- Cosmolex
- Other, please specify

### Multi-select buttons

Some questions are multiple choice checkboxes (i.e., several options can be chosen). For example, Section B, question 3a.

3. Did the law firm maintain the following general records for the entire reporting period and to the date of certifying this Report? (Select all that were maintained during the reporting period)
- a) General Journal – showing:
- Date of receipt or date of withdrawal
  - Source of the general money received or the name of the payee to whom the general payment or withdrawal was made
  - The form in which the money was received
  - The client and file number, if applicable
  - The receipt or cheque number
  - The amount of the receipt, withdrawal or transfer
  - A running balance of the total amount in the general account

### Tables

Some questions require a table to be completed. For example, Section A, question 6.

If the loan is still outstanding, what is the current amount and interest rate?

Client Name	Loan Current Amount (\$)	Interest Rate (%)



## Textboxes

Some questions require a text answer. This can be either keyed into the memo field, or provided as an attachment (see section below). For example, Section A, question 1.

If No, please provide an explanation why the necessary filings and/or remittances were not made. In addition, identify any amounts owing and/or number of filings in arrears.

Maximum 2000 characters, 2000 characters remaining



## Mandatory questions

Some questions are always mandatory. These are indicated in red text and by a red asterisk beside the question. For example, Section A, question 1a.

1. At the end of the reporting period, did the law firm file and pay in full (current and any arrears)?

\* a) GST

- Yes
- No
- N/A

Once the mandatory question has been answered, text becomes black, and the asterisk is smaller and black.

1. At the end of the reporting period, did the law firm file and pay in full (current and any arrears)?

\* a) GST

- Yes
- No
- N/A

## Contextual mandatory questions

Some questions become mandatory based on the response to a previous question. Initially these questions do not have the asterisk, but once the page is saved (either by clicking on Save or by changing page), the asterisk will appear. For example, Section A, question 1d.

- Initially there is no asterisk.

d) If No, please provide an explanation why the necessary filings and/or remittances were not made. In addition, identify any amounts owing and/or number of filings in arrears.

- Once the previous question is answered “No” and the page is saved, the asterisk is shown and the text is red.

\* d) If No, please provide an explanation why the necessary filings and/or remittances were not made. In addition, identify any amounts owing and/or number of filings in arrears.



## Changing pages

To change page, click on the page number at the top and bottom of each page (the current one is shown with a red circle around it).

LAW FIRM SELF-REPORT PAGE 1

1 2 3 4 5 6 7 8 9 10 11 12 13 14

**Note: Responses to questions are saved when Save is clicked or the page is changed.**

If the lawyer navigates to another page in the portal, then any responses on the current page since the last save will be lost.

If the session times out, then any responses on the current page since the last save will be lost. A two-minute warning for the timeout is displayed to the lawyer to warn them to save.

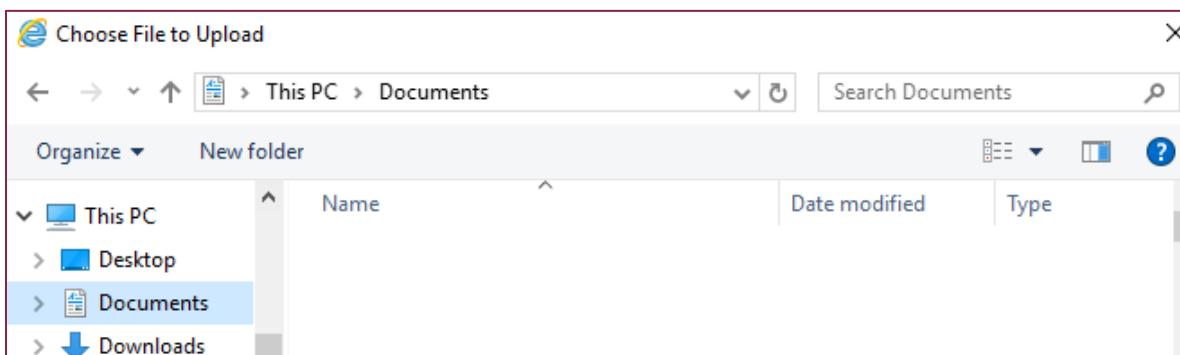
## Attachments

Some questions in the Self-Report require an attachment.

1. The attachment can be added in the Self-Report at the question as below:

Document Attachment(s)	Page or Section Reference(s)
<input type="button" value="Browse..."/>	Optionally enter the reference to the specific page or section

2. Clicking on Browse opens a window to allow the user to choose a document from their drives.



3. When the document is chosen, it is shown on the Self-Report.

Document Attachment(s)	Page or Section Reference(s)
<input type="button" value="Baker Ledger Card.pdf"/>	Optionally enter the reference to the specific page or section

4. If the document covers more information than the answer to this question, details on how to find the relevant details can be provided.

Document Attachment(s)	Page or Section Reference(s)
Baker Ledger Card.pdf	Optionally enter the reference to the specific page or section

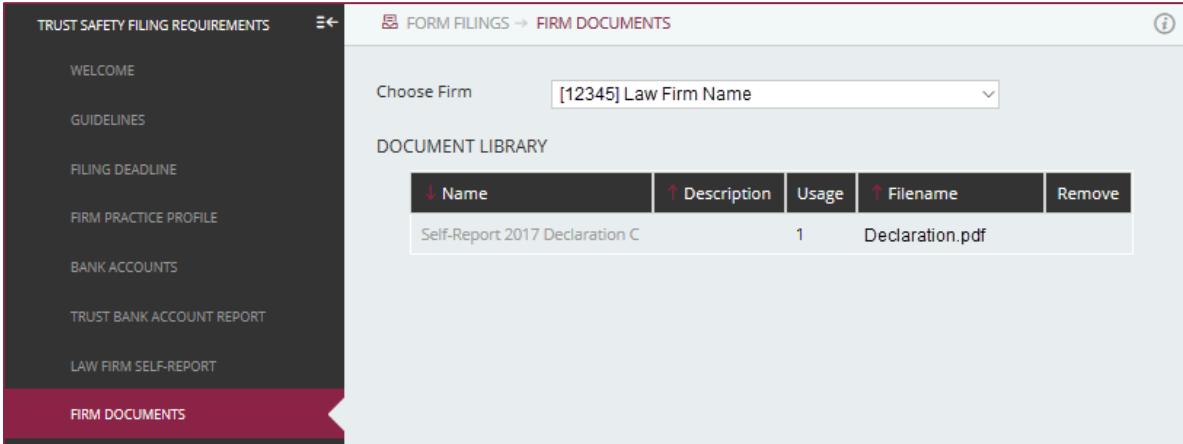
5. On Save, the attachment name and reference are shown, and another attachment can be added in the same way.

Document Attachment(s)	Page or Section Reference(s)
Baker Ledger Card1.pdf	Page 1
Browse...	Optionally enter the reference to the specific page or section

6. To delete the attachment, click on the document name.

Document Attachment(s)	Page or Section Reference(s)
Baker Ledger Card1.pdf	Page 1
Browse...	Optionally enter the reference to the specific page or section

7. All the documents added can be seen from the “Firm Documents” sub-menu, with the name set to the Self-Report section where it was attached.



The screenshot shows the "FIRM DOCUMENTS" sub-menu under "LAW FIRM SELF-REPORT". The menu items include: TRUST SAFETY FILING REQUIREMENTS, WELCOME, GUIDELINES, FILING DEADLINE, FIRM PRACTICE PROFILE, BANK ACCOUNTS, TRUST BANK ACCOUNT REPORT, LAW FIRM SELF-REPORT, and FIRM DOCUMENTS (which is highlighted in red).

The main content area displays the "FORM FILINGS → FIRM DOCUMENTS" section. It shows a dropdown menu "Choose Firm" set to "[12345] Law Firm Name". Below it is a "DOCUMENT LIBRARY" table:

Name	Description	Usage	Filename	Remove
Self-Report 2017 Declaration C	1		Declaration.pdf	

**Note:** Lawyers cannot view the attachments once they are uploaded, as this is only available to Law Society staff.

**Note:** If another lawyer/firm administrator from the same firm logs in, they can see any firm documents that have been uploaded.

## Submitting the Self-Report

- Before the Self-Report can be submitted, all the mandatory questions must be answered. Complete pages are shown in a blue circle. In this example, only page 1 has been completed.

LAW FIRM SELF-REPORT PAGE 2

1 2 3 4 5 6 7 8 9 10 11 12 13 14

- Before the Self-Report can be submitted, the Trust Bank Account Report must be submitted. The “Submit” button is not displayed until the report is valid.
- Then, on the last page:

- Check and attach the Financial Institution Authorization Form.

\* FINANCIAL INSTITUTION AUTHORIZATION

I grant authorization for the Law Society of Alberta to obtain my law firm bank account information directly from my banking institution when they are conducting an examination, review, audit or investigation of my firm in accordance with Rule 119.33.

\* Please download and print the Financial Institution Authorization Release form. The Responsible Lawyer must print their name, sign and date this document. Then attach the signed document. This form must be attached in order to Submit the Self-Report.

Optionally enter the reference to the specific page or section

- Save.

- At this point, the “Submit” button will appear, so the report can be submitted.
- After the report has been submitted, the lawyer can view and print it, but not update it.

CURRENT SELF-REPORT

Current	Show History				
Period Start	Period End	Due Date	Bank Account Report	Self Report	Accountant Report/Upload
Jan-01-2017	Dec-31-2017	Mar-31-2018	Submitted Sep 25, 2017	Complete Sep 26, 2017	Pending Sep 19, 2017
					<input type="button" value="View"/>

## Printing the Self-Report

The Self-Report can be printed by clicking on the “Print” button at the bottom of each page:

1 2 3 4 5 6 7 8 9 10 11 12 13 14