

LAW FIRM CERTIFICATE OF COMPLIANCE WITH SCR 20:1.15

Firm Name: _____
 Office Address: _____
 City, State Zip: _____
 Telephone No.: _____

Pursuant to SCR 20:1.15(i) and (j)(10), on behalf of the above-referenced law firm (“the Firm”), I/we hereby certify as follows:

- 1) That the Firm maintains trust and/or fiduciary account(s) and/or safe deposit box(es) into which Firm members deposit funds or property belonging to clients or third parties that is held in connection with a Wisconsin legal matter or in a fiduciary capacity, and that all such account(s) and/or box(es) are identified below and/or in a separate list attached to this Certificate;
- 2) That the Firm has complied with each of the record-keeping requirements set forth in SCR 20:1.15(f) and/or (j)(5);
- 3) That the Firm has a trust account overdraft agreement on file with OLR, as required by SCR 20:1.15(h), for each draft-type trust account into which client funds or 3rd party funds are deposited by the Firm, and that, with respect to each draft-type fiduciary account, the Firm either has an overdraft agreement on file with OLR or is complying with the alternative protection procedures of SCR 20:1.15(j)(9)b. and/or (9)c; and,
- 4) That each IOLTA account of the Firm is held in an IOLTA participating institution as required by SCR 20:1.15(c)(1). **(Effective January 1, 2010.)** [A list of IOLTA participating institutions is published on the WisTAF website at <http://wistaf.org>.]

| | |
|--|------|
| Partner Responsible for Trust/Fiduciary Accounts | Date |
| Print Name | |
| 2 nd Partner Responsible for Trust/Fiduciary Accounts | Date |
| Print Name | |

Account Types
 A - IOLTA
 B - Non-IOLTA or
 Fiduciary
 Insert Account Type
 "A" or "B" in the
 final column of the
 table below.

| Name of Financial Institution | City | Trust Account, Fiduciary Account and/or Safe Deposit Box Numbers | | | Account Type |
|-------------------------------|------------------|---|---|---|-----------------|
| | Telephone Number | T | F | S | |
| | | T | F | S | |
| | | T | F | S | |
| | | T | F | S | |
| | | T | F | S | |
| | | T | F | S | |

A list of additional Trust Accounts, Fiduciary Accounts and/or Safe Deposit Box Numbers is attached.

INSTRUCTIONS

Filing Requirements: SCR 20:1.15(i)(3) provides: “A law firm shall file one certificate on behalf of the lawyers in the firm who are required to file a certificate under par. 1. The law firm shall give a copy of the certificate to each lawyer in the firm.” The partner or partners who are responsible for overseeing the firm’s trust and fiduciary accounts should sign the Law Firm Certificate of Compliance and file it with the State Bar of Wisconsin, along with the dues statements of each lawyer in the firm.

NOTE 1: Only the original Law Firm Certificate of Compliance should be filed with the Bar. Do not attach a copy of the Certificate to each dues statement.

NOTE 2: Trust and fiduciary accounts and safe deposit boxes opened after submitting this Certificate should be reported on next year’s Law Firm Certificate. **However,** Overdraft Notification Agreements must be filed with OLR at the time any new draft-type trust or fiduciary account is opened, unless the account is a fiduciary account that is subject to one of the alternative protection procedures in SCR 20:1.15(j)(9).

Penalty for Non-compliance: Pursuant to SCRs 20:1.15(i)(4) and (j)(10), failure to complete the trust account certificate is grounds for automatic suspension from the practice of law in the same manner as for nonpayment of dues.

Accounts subject to Reporting: In an April 11, 2001 Order, the Wisconsin Supreme Court specified that: “A lawyer must certify all trust accounts and safe deposit boxes in which the lawyer deposits clients’ funds or property held in connection with a representation or held in a fiduciary capacity that directly arises in the course of or as a result of a lawyer-client relationship.” Please identify the name, location (city, town or municipality) and telephone number of the financial institution at which each such account or safe deposit box is located, along with the related account number(s). In addition, please indicate whether the account is a Trust account, a Fiduciary account or a Safe deposit box by checking the appropriate box beneath the letters **T**, **F** or **S**. **NOTE:** If the firm has more than five accounts, please attach a separate page to the Certificate and check the box near the bottom of the form, indicating that a list is attached.

WisTAF Type. The Wisconsin Trust Account Foundation operates the Interest on Lawyer Trust Accounts Program (IOLTA). Please label all trust accounts listed on the certificate and/or a separate page attached to the Certificate as Type “**A**” (an IOLTA account) or Type “**B**” (a Non-IOLTA or Fiduciary account). Type “**B**” accounts are identified in SCRs 20:1.15(c)(2), (j)(1) and (j)(1m).

For further information regarding IOLTA requirements, contact WisTAF at (608) 257-6845 or toll free at (877) 749-5045.

CAUTION: Before signing the Law Firm Certificate, please verify that: **1)** All trust and fiduciary accounts and safe deposit boxes are listed; **2)** Record-keeping requirements have been met; **3)** An overdraft agreement is in place and on file with OLR for each draft-type trust account and for each draft-type fiduciary account that does not have alternative protection in place; and **4)** Each IOLTA account is held in an IOLTA participating financial institution, pursuant to SCR 20:1.15(c)(1), **effective January 1, 2010**. A list of IOLTA participating institutions is published on the WisTAF website at <http://wistaf.org>. Per SCR 20:1.15(cm)(2)e., lawyers and law firms are entitled to rely on the most recently published list of IOLTA participating institutions for purposes of compliance with SCR 20:1.15(c)(1) unless notified otherwise by OLR.

For further information regarding Overdraft Agreements, record-keeping requirements and the Law Firm Certificate, contact OLR at (608) 261-8296 or toll free at (877) 315-6941, Option 2 or, go to OLR’s website: <http://wicourts.gov/olr>.