

Application for licensed practice affiliate status

To ensure we have all the information we need to process your application, please ensure you are completing the latest version of this form. The most up to date version is linked from icaew.com/regulatoryapplications, or please email regulatorysupport@icaew.com for a copy.

We aim to provide a decision on your application as soon as possible. This is usually within 8-12 weeks of receiving a fully completed application form and all supporting documentation.

This form is for an individual to apply for licensed practice affiliate status. Please submit an application form for each principal who is to become an affiliate under the ICAEW Licensed Practice Handbook.

All principals in a firm licensed by ICAEW as a licensed practice must be either:

- members of ICAEW;
- firms registered for audit work by ICAEW;
- firms licensed under the ICAEW's designated professional body arrangements;
- licensed under the ICAEW's Insolvency Regulations;
- ICAEW accredited probate firms;
- members of ICAS or CAI; or
- affiliates of ICAEW (audit, DPB, probate or general).

If you don't fall into one of the above categories, then you must apply to be a licensed practice affiliate.

HOW TO COMPLETE THIS APPLICATION FORM

- Please fill in this form electronically, using the TAB key to move from one answer to the next. The relevant sections can be signed with a digital signature.
- Please note that all signatures and Letters of Good Standing (LOGS) need to be dated within the last three months. If, at the stage of approval of the application, the signature was added more than three months ago, we will require the form to be resigned and/or a new LOGS to be provided
- Then send it as an email attachment to regulatorysupport@icaew.com
- We have provided guidance before questions and in separate guidance notes. Please read the guidance before you answer each question.
- If you run out of space, please attach additional sheets.
- If you have any questions as you fill in this form, please call +44 (0)1908 546 302. This may avoid delays in dealing with your application.

1 DETAILS OF THE FIRM MAKING THE APPLICATION

Firm name

Firm number: **C0**

2 DETAILS OF INDIVIDUAL OR BODY APPLYING FOR AFFILIATE STATUS

ICAEW use. A/

What is the legal form of the practice?

Sole practice

Partnership

Limited liability partnership

Corporate practice

Other – please provide details

Individual applying

Title (eg, Mr, Mrs, Dr

Surname

First names

Date of birth

Home address

Postcode

Contact telephone number

Email (this will give you access to icaew.com)

Professional body or bodies (Tick all that apply)

ACCA

CIPFA

CIMA

CIOT

AAT

ATT

IPA

Other – specify

Practising certificate(s) held (Type name(s) of all bodies with whom a practising certificate is held)

Corporate body applying

Name of entity

Address of body

Postcode

Phone

Companies House registration number

Professional body or bodies (Tick all that apply)

ACCA

CIPFA

CIMA

CIOT

AAT

ATT

IPA

Other – specify

Practising certificate(s) held (Type name(s) of all
bodies with whom a practising certificate is held)

3 PREVIOUS AFFILIATE STATUS

Has ICAEW granted this individual or body affiliate status on a previous occasion, eg, as an audit, DPB, probate, insolvency and local audit or general affiliate?

YES

NO

If 'Yes', please give details of the firm in which they were a principal and the dates they were an affiliate.

Name of previous firm in which an affiliate

Number of previous firm (if known) **C0**

Name of current firm in which an affiliate

Number of current firm (if known) **C0**

Affiliate number (if known) (seven digits)

Firm's website address

From

To

4 FIT AND PROPER

Applicants for affiliate status are required to demonstrate that they are 'fit and proper'.

Please answer the following questions and, if necessary, provide additional information in a covering letter or on a separate sheet. In the case of a corporate applicant, the answers should be in respect of each shareholder, director or member.

Financial integrity and reliability

- | | | |
|---|-----|----|
| a. Have you, within the last 10 years in the United Kingdom or elsewhere, failed to satisfy any debt adjudged due and payable by you as a judgment-debtor under an order of a court in the United Kingdom or elsewhere? | YES | NO |
| b. Have you, within the last 10 years, made any compromise arrangement with your creditors or otherwise failed to satisfy creditors in full? | YES | NO |
| c. Have you ever been declared bankrupt or been the subject of a bankruptcy court order in the United Kingdom, Republic of Ireland or elsewhere, or has a bankruptcy petition ever been served on you? | YES | NO |
| d. Have you ever signed a trust deed for a creditor, made an assignment for the benefit of creditors, or made any arrangements for the payment of a composition to creditors? | YES | NO |

Convictions and civil liabilities

- | | | |
|--|-----|----|
| e. Have you at any time pleaded guilty to or been found guilty of any offence? | YES | NO |
|--|-----|----|

If 'Yes', give details of the court which convicted you, the offence, the penalty imposed and date of conviction. (Please attach additional sheet if necessary)

- | | | |
|--|-----|----|
| f. Have you ever been disqualified by a court from being a director, or from acting in the management or conduct of the affairs of any company? | YES | NO |
| g. In the last five years have you been the subject of any civil action relating to your professional or business activities which has resulted in a judgement or finding against you by a court, or a settlement (other than a settlement consisting only of the dismissal by consent of a claim against it and the payment of its costs) being agreed? | YES | NO |

Good reputation and character

Note: There is no need to mention offences which are spent for the purposes of the Rehabilitation of Offenders Act 1974, similar legislation in the Republic of Ireland, offences committed before the age of 17 (unless committed within the last 10 years) or road traffic offences that did not lead to a prison sentence.

In the last 10 years have you been:

- | | | |
|---|-----|----|
| • refused the right or been restricted in the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required? | YES | NO |
| • investigated about allegations of misconduct or malpractice in connection with your professional activities which resulted in a formal complaint being proved but no disciplinary order being made? | YES | NO |
| • the subject of disciplinary procedures by a professional body or employer resulting in a finding against you? | YES | NO |
| • reprimanded, excluded, disciplined or publicly criticised by any professional body which you belong to or have belonged to? | YES | NO |
| • refused entry to or excluded from membership of any profession or vocation? | YES | NO |
| • dismissed from any office (other than as auditor) or employment or requested to resign from any office, employment or firm? | YES | NO |

• reprimanded, warned about future conduct, disciplined, or publicly criticised by any regulatory body, or any officially appointed enquiry concerned with the regulation of a financial, professional or other business activity?	YES	NO
• the subject of a court order at the instigation of any regulatory body, or any officially appointed enquiry concerned with the regulation of a financial, professional or other business activity	YES	NO
h. Are you currently undergoing any investigation or disciplinary procedures as described above?	YES	NO

Questions j-k apply to corporate body applicants only

i. Has the corporate entity ever been the subject of an effective resolution passed by the shareholders (or, in the case of a limited liability partnership, by its members) for it to be wound up or has a winding-up order made against it on grounds of insolvency?	YES	NO
j. Has the corporate entity ever had an administration order made against it on grounds of insolvency?	YES	NO
k. Has the corporate entity ever had a receiver appointed by a creditor or by a court on the application of a creditor?	YES	NO
l. Has the corporate entity, in the United Kingdom or elsewhere, ever been refused the right or been restricted in the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required?	YES	NO
m. Is the corporate entity currently undergoing investigation or disciplinary procedure as described in h, i or j?	YES	NO

5 DECLARATION BY TWO CHARTERED ACCOUNTANTS

This declaration should be signed by the two most senior chartered accountant principals in the firm. If there are only two principals in an applicant's firm, of whom one is the applicant, confirmation shall be provided by the chartered accountant principal and also by a member of ICAEW who is not an employee of the firm. If the applicant is a corporate body, two independent chartered accountants will need to sign the declaration below rather than a principal within the applicant body.

We confirm that, in our opinion, the applicant is a fit and proper person to be granted affiliate status with ICAEW.

First referee

Name

Firm name

Member body

ICAEW

ICAS

CAI

Membership number

Date of qualification

I have known the applicant for years

Signature

Date

Second referee

Name

Firm name

Member body

ICAEW

ICAS

CAI

Membership number

Date of qualification

I have known the applicant for years

Signature

Date

6 APPLICANT'S CONFIRMATIONS AND UNDERTAKINGS

I hereby apply to be accepted as an affiliate of ICAEW under the ICAEW Licensed Practice Handbook.

I certify that the details provided in this application are correct.

I know of no reason why there should be any doubts regarding my being a fit and proper person to be an affiliate of ICAEW. (Please read carefully Section A of the additional notes concerning circumstances in which an individual would be unlikely to be regarded as a fit and proper person.)

If accepted as an affiliate, I undertake to comply with the Royal Charter, bye-laws and regulations which, at the time of acceptance and thereafter, are in force.

In particular, I will:

- observe and uphold the ethical and professional standards of ICAEW;
- perform faithfully and promptly any service that I am retained or employed to undertake in my professional capacity;
- provide promptly and willingly all such information and assistance as I am able, if asked to do so by ICAEW in pursuance of its duties; and
- pay the appropriate annual affiliate fee(s) when due.

I understand that I shall not be entitled to call myself a chartered accountant and that affiliate status does not confer any rights, acknowledgements, status or designatory letters on an affiliate or entitle an affiliate to be publicly represented as having such.

I acknowledge that, if accepted as an affiliate, I shall be subject to the disciplinary processes of ICAEW for any failure to comply with its bye-laws or regulations, or to fulfil the undertakings in this application.

Full name of principal or principal
representing the body

Signature

Date

7 ADDITIONAL NOTES

A Applicants must give full details of the circumstances involved if they have, at any time:

1. been bankrupt or the subject of a deed of arrangement or a scheme or composition relating to their financial affairs;
2. had an order made against them by ICAEW or another professional body on disciplinary grounds;
3. been removed for misconduct from the office of liquidator, trustee, administrative receiver, administrator or supervisor of a voluntary arrangement;
4. been the subject of a disqualification order under the Company Director Disqualification Act 1986 or under the Insolvency Act 1985 or 1986;
5. been found to have knowingly and wilfully, in relation to the conduct of insolvencies as an office holder or potential office holder, infringed the requirements of the Companies Act 1985 or Insolvency Acts 1985 or 1986, the Bankrupt Act 1914 or the Bankrupt (Scotland) Act 1985;
6. been convicted of an indictable offence;
7. been the subject of a successful claim for negligence in the conduct of their professional work.

Failure to disclose any reasons, which could cast doubt on an applicant's 'fit and proper' status, including, but not exclusively, the examples above, would in itself be grounds for refusal of an application.

B Royal Charter, bye-laws and ICAEW *Licensed Practice Handbook*

The Royal Charter, bye-laws, ICAEW *Licensed Practice Handbook* and Code of Ethics are published at [icaew.com/regulations](https://www.icaew.com/regulations). The ICAEW *Licensed Practice Handbook* should be held by the licensed practice contact principal.

C Affiliation fee (if applicable)

For every licensed practitioner in a licensed practice, we will give you three licensed practice affiliate statuses free of charge (although the individuals still need to make an affiliate application). If these free affiliates are not enough, you will need to pay an affiliate fee for any additional affiliates. You must pay your affiliate fee when you submit your application. We are unable to process applications without the appropriate fee. The licensed practice affiliate fee scale is published at [icaew.com/lpscheme](https://www.icaew.com/lpscheme)

We will send you a receipted invoice for the joining fee and the first annual fee once your application has been approved. If your application is not successful, we will refund the affiliate fee.

Please email your application to:

regulatorysupport@icaew.com

Using your personal information

We will treat your personal information in accordance with data protection legislation. We will use your information to carry out our responsibilities as a regulator and as a professional body. We may, either as required by law or to carry out those responsibilities, share your personal information to comply with the requirements of government departments, agencies and regulators. Where necessary, we may transfer your information outside the UK or European Economic Area (EEA) eg, to one of our offices. These countries may not have similar data protection laws to the UK so, if we do transfer your information, we will take the necessary steps to ensure that your privacy rights are still protected. For more information about our data protection policy, please go to [icaew.com/dataprotection](https://www.icaew.com/dataprotection)