

# Application for audit affiliate status and/or DPB (Investment Business) 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](http://icaew.com/regulatoryapplications), or please email [regulatorsupport@icaew.com](mailto:regulatorsupport@icaew.com) for a copy.

We aim to provide a decision on your application as soon as possible. This is usually within 6-8 weeks of receiving a fully completed application form and all supporting documentation.

**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.**

**Please send the completed form to [regulatorsupport@icaew.com](mailto:regulatorsupport@icaew.com) or the address at the end of the form. If you have any questions as you are filling in the form, please call +44 (0)1908 546 302.**

## INDIVIDUAL APPLICANTS

All principals in a firm registered for audit with ICAEW or in a firm that holds an ICAEW DPB (Investment Business) licence must be either:

- members of one of the three institutes of chartered accountants;
- members of the Association of Chartered Certified Accountants; or
- affiliates of ICAEW.

Please submit an application form for each principal who is to become an affiliate. Will this proposed appointment bring about a change in the firms' legal entity. If yes, please [click here](#). Will any voting rights percentages be adjusted or changed? If yes, please complete and return [standing data change form 4](#).

## CORPORATE APPLICANTS

Please set out on a separate sheet, the following details relating to the corporate applicant.

In the case of a limited company, please provide:

- the names and addresses of the directors;
- the names and addresses of the shareholders and their percentage share of the company's shareholding.

For a limited liability partnership, please give the names and addresses of the members and their percentage voting rights.

In all cases, please indicate which directors, shareholders or members are ICAEW members.

## 1 AFFILIATE STATUS

Which affiliate status are you applying for?

Both audit and DPB (Investment Business) affiliate status

Audit affiliate status only

DPB (Investment Business) affiliate status only

## 2 FIRM DETAILS

Firm name

Firm number: C0

ICAEW office number (if known) **L0**

or location if number not known

Firm's address

Postcode/zipcode

Phone

### 3 DETAILS OF PRINCIPAL (OR BODY) APPLYING FOR AFFILIATE STATUS

ICAEW use A/

## Principal applying

Title Surname of principal

First names of principal

Date of birth of principal

Home address of principal or firm address

Postcode/zipcode

Home phone

Business email (this will give you access to [icaew.com](http://icaew.com))

Date individual became (or will become) a principal in the firm

**Corporate body applying**

Name of firm

Firm address

Postcode/zipcode

Firm phone

Companies House registration number

Date body became (or will become) a principal in the firm

## 4 PREVIOUS AFFILIATE STATUS

Has ICAEW granted this person or body affiliate status on a previous occasion, eg, as an audit or DPB (Investment Business) 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 firm

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

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

Affiliate number (if known)

From

to

## 5 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, or made any compromise arrangement with your creditors?

YES      NO      If 'Yes', please give details.

b. Have you been the subject of a bankruptcy order by a court in the United Kingdom or elsewhere, or has a bankruptcy order petition ever been served on you?

YES      NO      If 'Yes', please give details.

c. Have you ever made an assignment for the benefit of creditors or made any arrangement for the payment of a composition to creditors?

YES      NO      If 'Yes', please give details.

### Convictions or civil liabilities

d. Have you at any time pleaded guilty to or been found guilty of any offences?

YES      NO      If 'Yes', please give details.

e. Have you, within the last five years in the United Kingdom or elsewhere, been party to any civil action which has resulted in a finding against you by a court, or a settlement being agreed, in respect of any matter relating to your professional or business activities?

YES      NO      If 'Yes', please give details.

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      If 'Yes', please give details.

### Good reputation and character

g. Have you, 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      If 'Yes', please give details.

h. Have you, in the United Kingdom or elsewhere, ever been the subject of an investigation into allegations of misconduct or malpractice in connection with your professional activities?

YES      NO      If 'Yes', please give details.

i. Have you, in the United Kingdom or elsewhere, ever been the subject of disciplinary procedures resulting in an adverse finding?

YES      NO      If 'Yes', please give details.

j. Have you, in the United Kingdom or elsewhere, ever been censured, admonished, reprimanded, excluded, otherwise disciplined or publicly criticised by any professional body to which you belong or have belonged?

YES      NO      If 'Yes', please give details.

k. Have you, in the United Kingdom or elsewhere, ever been refused entry to or excluded from membership of any profession or vocation?

YES      NO      If 'Yes', please give details.

l. Have you, in the United Kingdom or elsewhere, ever been dismissed or asked to resign from any office (other than as auditor) or employment or asked to resign from a partnership?

YES      NO      If 'Yes', please give details.

m. Have you, in the United Kingdom or elsewhere, ever been censured, disciplined, or publicly criticised by, or made the subject of a court order at the instigation of any regulatory authority, or any officially appointed enquiry, or any other body concerned with the regulation of a financial, professional or other business activity?

YES      NO      If 'Yes', please give details.

n. Are you currently undergoing investigation or disciplinary procedure as described in h, i or j?

YES      NO      If 'Yes', please give details.

**Questions o-s apply to corporate body applicants only.**

o. 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      If 'Yes', please give details.

p. Has the corporate entity ever had an administration order made against it on grounds of insolvency?

YES      NO      If 'Yes', please give details.

q. Has the corporate entity ever had a receiver appointed by a creditor or by a court on the application of a creditor?

YES      NO      If 'Yes', please give details.

r. 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      If 'Yes', please give details.

s. Is the corporate entity currently undergoing investigation or disciplinary procedure as described in h, i or j?

YES      NO      If 'Yes', please give details.

## 6 AUDIT AND JOINT AFFILIATE APPLICANTS WHO ALREADY HOLD AN APPROPRIATE QUALIFICATION

Please complete this section if you hold an 'appropriate qualification' as defined by Section 1219 of the Companies Act 2006.

Please choose either a, b, c or d below and answer all questions in that section.

### A

I hold an appropriate qualification obtained in the UK

Name of qualification

Date gained

### B

I hold an approved overseas qualification and any additional examination passes specified by the Secretary of State.

Name of qualification

Details of examinations passed

Name of awarding body

Address of awarding body

Postcode

**C**

I was authorised on 31 December 1989 by the Secretary of State under Section 389 (1)(b) of the Companies Act 1985.

Was authorisation granted under Section 13(1) of the Companies Act 1967?

YES      NO      If 'Yes', please give details.

**D**

I hold an 'appropriate qualification' by virtue of the transitional arrangements of Section 31(4) of the Companies Act 1989.

Please give details.

## 7 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 corporate 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      ICAI

Membership number

Date of qualification

I have known the applicant for      years.      Signature

Date signed

**Second referee**

Name

Firm name

|                                |        |           |      |                       |
|--------------------------------|--------|-----------|------|-----------------------|
| Member body                    | ICAEW  | ICAS      | ICAI |                       |
| Membership number              |        |           |      | Date of qualification |
| I have known the applicant for | years. | Signature |      | Date signed           |

## 8 APPLICANT'S CONFIRMATIONS AND UNDERTAKINGS

I hereby apply to the Council to be accepted as an affiliate of ICAEW (tick appropriate box(es) below)

under ICAEW's Audit Regulations;

under the DPB (Investment Business) 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.)

I undertake that, if accepted as an affiliate, I will 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; and
- 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
- 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.

Signature

Print full name of principal or principal representing the body

Date

## 9 ADDITIONAL NOTES

### A

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

- been bankrupt or the subject of a deed of arrangement or a scheme or composition relating to their financial affairs;
- had an order made against them by ICAEW or another professional body on disciplinary grounds;
- been removed for misconduct from the office of liquidator, trustee, administrative receiver, administrator or supervisor of a voluntary arrangement;
- been the subject of a disqualification order under the Company Director Disqualification Act 1986 or under the Insolvency Act 1985 or 1986;
- 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;
- been convicted of an indictable offence;
- 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 including, but not exclusively, the examples above on an applicant's 'fit and proper' status, would in itself be grounds for refusal of an application

### B

Royal Charter, bye-Laws, Audit Regulations and Guidance and *DPB (Investment Business) Handbook*

The Royal Charter, bye-laws Audit Regulations and Guidance, *DPB Handbook* and Code of Ethics are published at [icaew.com/regulation](http://icaew.com/regulation). The Audit Regulations and Guidance should be held by the audit compliance principal in your firm. *The DPB (Investment Business) Handbook* should be held by the DPB (Investment Business) contact principal.

### C

Affiliation fee

You must pay your affiliate fee when you submit your application. We are unable to process applications without the appropriate fee. We publish this year's affiliate fee scales for audit and DPB (Investment Business) at [icaew.com/affiliates](http://icaew.com/affiliates). 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.

If you are already an affiliate of ICAEW, once your application has been approved, we will send you a receipted invoice for extending your affiliate status.



### 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](http://icaew.com/dataprotection)

**Save a copy of your completed form for your records.**

Send it by email to [regulatorysupport@icaew.com](mailto:regulatorysupport@icaew.com)

and we will contact you by phone to take your payment.