APPLICATION FOR statement of professional standing

1. Please read the guidance before you complete each question.
2. Save this form to your computer. Fill it in electronically, using the TAB key to move from one answer to the next. Save it again, print it, sign it and send it to the address at the end of the form with your payment (if paying by cheque).
3. If you need more space for an answer, please attach additional sheets.

# Applicant details

|  |  |
| --- | --- |
| Title (eg, Mr, Mrs, Dr) |  |
| Surname |  |
| First names |  |
| Home address |  |
| Date of birth | (DD MM YYYY) |
| Would you like us to use this as your mailing address? |  |
| Would you like us to send your invoice to this address? |  |
| Are you an ICAEW member or affiliate? |  |
| ICAEW membership/affiliate number (if applicable) |  |
| Are you a member of another accountancy body or the Institute and Faculty of Actuaries? | I am also a member of: |
| Membership number |  |
| If you are **not** an ICAEW member or affiliate, or a member of another accountancy body, please make sure you complete the additional information about your employer in [section 2.2](#_Structure_of_the). | |

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| Are you registered with the FSA as an approved person? |  |
| FSA individual registration number |  |

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| Are you a member of any other professional body (bodies)? | I am also a member of: |
| Professional qualifications |  |

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| Do you currently hold, or have you previously held, a statement of professional standing issued by another accredited body? If ‘Yes’, please complete [section 3](#_Eligibility). |  |
| We will not be able to issue you with a statement of professional standing until that which you currently hold has expired or has been surrendered. | |
| From what date would you want your statement of professional standing to start? | (DD MM YYYY) |

# Employment details

## Current employer

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| All applicants should complete section 2.1 | |
| Firm name |  |
| Company number (if applicable) |  |
| FSA registration number |  |
| Firm address |  |
| Postcode |  |
| Telephone number |  |
| Would you like us to use this as your mailing address? |  |
| Would you like us to send your invoice to this address? |  |
| Fax number |  |
| Your business email address |  |
| What is your status within the firm? |  |

## Structure of the firm

|  |  |
| --- | --- |
| If you are **not** an ICAEW member, an ICAEW affiliate or a member of another accountancy body (including the Institute and Faculty of Actuaries), you will need to complete section 2.2. | |
| Is the firm an ICAEW member firm?  If your answer to this question is ‘No’ please answer the question below. |  |
| Is the firm regulated by ICAEW?  If your answer to this question is ‘No’ please give details of the management structure and ownership of the firm in 2.3 below. | and |
| Firm number (if known) | C00 |

## Management structure – sole practitioners/partners/directors/LLP members

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Position within firm** | **Surname** | **First names** | **Date of birth** | **ICAEW member** | **Member no. if known** | **% of voting rights held** |
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## Shareholders of a corporate practice – with voting shares

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| --- | --- | --- | --- | --- |
| This section is for listing all the shareholders of the corporate practice. If your employer is not a corporate practice, go to [section 3](#_Eligibility). | | | | |
| Member/firm number if known | Full name and address of shareholders with voting rights | No. of shares | % of total voting rights | Director, employee or other |
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| Please list, on a separate sheet, the address of every shareholder and anyone with any interest in the shares. | | | | |

**Shareholders of a corporate practice – with non-voting shares**

|  |  |  |  |
| --- | --- | --- | --- |
| Member/firm number if known | Full name and address of shareholders with non-voting shares | No. of shares | Director, employee or other |
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| Please list, on a separate sheet, the address of every shareholder and anyone with any interest in the shares. | | | |

# Eligibility

## Qualifications

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| --- | --- |
| To be eligible to be issued with a statement of professional standing you must hold an appropriate qualification and complete ‘gap-fill’ where required. We will expect you to provide evidence of the qualifications you hold and, where necessary, the qualification gap-fill you have completed. A list of appropriate qualifications is available on the [FSA’s website](http://www.fsa.gov.uk). Go to the [Training and Competence Sourcebook](http://fsahandbook.info/FSA/html/handbook/TC), [Appendix 4E](http://fsahandbook.info/FSA/html/handbook/TC/App/4/1) for the qualification; [Appendix 7G](http://fsahandbook.info/FSA/html/handbook/TC/App/7/1) for gap-fill. | |
| Qualification held | Please provide a copy of any certificate or other evidence that shows you hold this qualification. |
| Awarding body (full name) |  |
| We may need to approach the awarding body to verify that you hold the qualification shown above. By signing the application form you will be providing your consent for the awarding body to release information about your qualifications to ICAEW. | |
| Have you completed any gap-fill? |  |
| If yes, please provide details. | Please provide evidence of the gap-fill you have completed. |

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| --- | --- |
| If you already hold an SPS issued by another accredited body, we can accept that statement as evidence that you hold an appropriate qualification. | |
| Are you relying on a statement of professional standing issued by another accredited body as evidence of your qualification? | Please provide a copy of the statement of professional standing and make sure you complete [section 3.2](#_Current_or_previous) below |

## Current or previous statement of professional standing

You need only complete this section if you have previously been issued with a statement of professional standing by another accredited body.

|  |  |
| --- | --- |
| Which accredited body issued the statement of professional standing? |  |
| When was your statement of professional standing issued? | (DD MM YYYY) |
| When does your statement of professional standing expire? | (DD MM YYYY) |
| Has your statement of professional standing expired or been surrendered or withdrawn at any time?  If ‘Yes’, please give date of cessation and explain circumstances in writing on a separate sheet. |  |
| Has any accredited body refused to renew your statement of professional standing?  If ‘Yes’, please give details in writing on a separate sheet. |  |
| Are there any matters concerning your current/previous statement of professional standing that should be brought to the attention of ICAEW?  If ‘Yes’, please give details in writing on a separate sheet. |  |

## Fit and proper

You must be able to demonstrate to ICAEW that you are a ‘fit and proper’ person.

If you answer ‘Yes’ to any of the following questions, please give more information in writing on a separate sheet.

|  |  |
| --- | --- |
| **Financial integrity and reliability** | |
| 1. In the last ten years have you made any compromise arrangement with your creditors or otherwise failed to satisfy creditors in full? |  |
| 1. 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? |  |
| 1. 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? |  |
| 1. Have you been a director, partner, or concerned in the management, of a business that has gone into insolvency, liquidation or administration while you were connected with that organisation or within one year of that connection? |  |
| **Civil liabilities** | |
| 1. 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? |  |
| **Good reputation and character** | |
| **Note:** There is no need to mention offences that 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 ten years) or road traffic offences that did not lead to a prison sentence. | |
| 1. Have you at any time pleaded guilty to, or been found guilty of, any offence? |  |
| If so, give details of the court which convicted you, the offence, the penalty imposed and date of conviction. (Please attach additional sheet if necessary.) |  |
| 1. 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? |  |
| 1. 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? |  |
| * 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? |  |

|  |  |
| --- | --- |
| * the subject of disciplinary procedures by a professional body or employer resulting in a finding against you? |  |
| * reprimanded, excluded, disciplined or publicly criticised by any professional body which you belong to or have belonged to? |  |
| * refused entry to, or excluded from, membership of any profession or vocation? |  |
| * dismissed from any office or employment or requested to resign from any office, employment or firm? |  |
| * 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? |  |
| * 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? |  |
| 1. Are you currently undergoing any investigation or disciplinary procedures as described above? |  |

# Referee endorsement

You must obtain confirmation that you are fit and proper from two people. Suitable referees would be an ICAEW member or another professional such as a qualified accountant or lawyer. If you are not currently a sole practitioner, we would expect one of these individuals to be a principal in your firm.

|  |  |
| --- | --- |
| AOne of your referees must complete and sign this section.  **I confirm that, in my opinion, the applicant is a ‘fit and proper’ person to be granted a statement of professional standing by ICAEW.** | |
| Name of first referee |  |
| Professional qualifications |  |
| Firm name |  |
| Firm address |  |
| Postcode |  |
| Email address |  |
| Relationship with applicant |  |
| I have known the applicant for | years |
| Signature of first referee | |
| Date |  |

|  |  |
| --- | --- |
| B A different referee must complete and sign this section.  **I confirm that, in my opinion, the applicant is a ‘fit and proper’ person to be granted a statement of professional standing by ICAEW.** | |
| Name of second referee |  |
| Professional qualifications |  |
| Firm name |  |
| Firm address |  |
| Postcode |  |
| Email address |  |
| Relationship with applicant |  |
| I have known the applicant for | years |
| Signature of second referee | |
| Date |  |

# Payment

When you submit your application, you must pay a fee by cheque.

The current fee is published at [www.icaew.com/sps](http://www.icaew.com/sps)

If your application is approved, we will send you a receipted invoice. If your application is unsuccessful, we will refund the fees.

I agree to pay £      .

Please enclose a cheque payable to CHARTAC .

# Application and undertakings (ICAEW members)

I hereby apply for a statement of professional standing, to be effective from       (DD MM YYYY).

I certify that the details provided on this application are correct and that I know of no reason why I should not be eligible to hold a statement of professional standing.

I undertake to comply with ICAEW’s statement of professional standing regulations and I accept that ICAEW is entitled to communicate to any relevant authority information that appears to be relevant to the discharge by that body or authority of its powers or duties.

I understand that ceasing to hold a statement of professional standing does not remove my obligation to pay outstanding fees and to provide information to ICAEW.

I certify that neither ICAEW, its officers, servants, members of its council or committee or agents or servants of committees or the committees or servants of the Accountancy and Actuarial Discipline Board, is to be liable in damages or otherwise for anything done or omitted in the discharge or purported discharge of any of its functions as an accredited body or under these regulations or the enforcement of any of the terms thereof or the monitoring of compliance with these regulations in those or any respects, unless the act or omission is shown to have been in bad faith.

I consent to the awarding body for any qualification I may hold, releasing to ICAEW information about my qualification.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

# Application and undertakings (affiliate and non-member)

I hereby apply for a statement of professional standing, to be effective from       (DD MM YYYY).

I certify that the details provided on this application are correct and that I know of no reason why I should not be eligible to hold a statement of professional standing.

I undertake to comply with ICAEW’s statement of professional standing regulations and I accept that ICAEW is entitled to communicate to any relevant body or authority information which appears to be relevant to the discharge by that body or authority of its powers or duties.

I understand that ceasing to hold a statement of professional standing does not remove my obligation to pay outstanding fees and to provide information to ICAEW.

I agree to be bound by and to undertake to comply with the Royal Charters, bye-laws, the Code of Ethics and the statement of professional standing regulations. I acknowledge that, if issued with a statement of professional standing, I shall be subject to the disciplinary procedures of ICAEW for any failure to comply with its bye-laws, Code of Ethics or regulations, or to fulfil the undertakings in this application regardless of whether at the time of those disciplinary procedures I have ceased to hold a statement of professional standing providing that the disciplinary procedures relate to the period when I did hold a statement of professional standing.

I certify that neither of ICAEW, its officers, servants, members of its council or committee or agents or servants of committees or the committees or servants of the Accountancy and Actuarial Discipline Board, is to be liable in damages or otherwise for anything done or omitted in the discharge or purported discharge of any of its functions as an accredited body or under these regulations or the enforcement of any of the terms thereof or the monitoring of compliance with these regulations in those or any respects, unless the act or omission is shown to have been in bad faith. I consent to the awarding body for any qualification I may hold releasing to ICAEW information about that qualification.

I consent to the awarding body for any qualification I may hold, releasing to ICAEW information about my qualification.

I understand that I am not entitled to call myself a chartered accountant and that holding a statement of professional standing issued by ICAEW does not confer any rights, acknowledgements, status or designatory letters on me or entitle me to be publicly represented as having such.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

ICAEW’s bye-laws and Code of Ethics are available at [icaew.com/regulations](http://www.icaew.com/en/members/regulations-standards-and-guidance)

# Checklist

|  |  |
| --- | --- |
| I have signed the application form. |  |
| My referees have signed the application form. |  |
| I have included the extra sheets where I have given a further explanation. |  |
| I have enclosed payment. |  |

When you send in the form, please make sure you provide all the supporting documents, including any extra sheets. If we do not receive all the information we need, your application may be delayed.

Send your completed form to:

ICAEW Finance

PO Box 6173

Milton Keynes

MK10 1TW

http://www.icaew.com/publicassets/00/00/02/59/0000025927.GIF **Using your personal information**

We will treat any personal information collected on this form in accordance with data protection legislation. We will use your information to carry out our responsibilities as a regulator and as a professional body. To do this, we will share your information with other organisations as required by law.

We may transfer your information outside the European Economic Area (EEA) eg, to one of our offices. These countries may not have similar data protection laws to the EEA, 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.