

# *Fit and proper declaration*

Version: December 2019



## **FOR SUPERVISION UNDER ICAEW'S PRACTICE ASSURANCE SCHEME**

### **HOW TO COMPLETE THIS FORM**

Before you complete this declaration, please read the **Guidance Notes**.

If a question does not apply, please answer 'N/A' or 'None'.

If the information you provide is subsequently found to be false or misleading:

- you may be subject to disciplinary action, including exclusion, if you are an ICAEW member;
- ICAEW may withdraw supervision for the Money Laundering, Terrorist Financing and Transfer of Funds (information on the Payer) Regulations 2017 (amended) (MLR17) and pass your firm's details to HMRC for them to assess whether they will register the firm.



## 1 FIRM INFORMATION

A.1 Firm name

A.2 Firm number **C00**

## B PERSONAL DETAILS

B.1 Full name

B.2 ICAEW member number  
(if known/where relevant)

B.3 Home address

Postcode/  
zipcodeB.4 Have you been at this address  
for less than five years?      YES      NOB.5 If your answer to B.4 is 'Yes', please  
give your previous home address.Postcode/  
zipcode

B.6 Home phone number

B.7 Mobile phone number

B.8 Email address

B.9 What is your position in the business?

For example, sole proprietor,  
company director, company secretary,  
individual with beneficial interests.

B.10 Are you the money laundering  
reporting officer?

YES

NO

B.11 Are you the member of senior  
management responsible for  
compliance with MLR17 (MLCP)?

YES

NO

## C IDENTIFICATION

Please answer one of questions C1-C5 so that we can process your application.

C.1 Passport details

Country of birth

Place of birth

Nationality

Passport number

Place of issue

Passport expiry date

C.2 National insurance number

C.3 National ID number

C.4 Driving licence number

C.5 If you are not an EU citizen, are you  
entitled to live and work in the UK?

## D CRIMINAL OFFENCES

D.1	Have you been convicted of, or are you currently charged with, any of the following criminal offences in the UK or of an equivalent offence in another country:		
	a. an offence under the Terrorism Act 2000 or 2006;	YES	NO
	b. an offence under part 7 of the Proceeds of Crime Act 2002;	YES	NO
	c. an offence listed in Schedule 2,4 or 5 to the Proceeds of Crime Act 2002;	YES	NO
	d. an offence under paragraph 7(2) or (3) of Schedule 3 to the Anti-Terrorism, Crime and Security Act 2001;	YES	NO
	e. an offence under the Fraud Act 2006 or, in Scotland, the common law offence of fraud;	YES	NO
	f. an offence under section 72(1), (3) or (8) of the Value Added Tax Act 1994?	YES	NO
	g. any other offence listed in Schedule 3 of MLR17	YES	NO
D.2	Have you been convicted of the common law offence of cheating the public revenue?	YES	NO
D.3	Are you or have you been bankrupt, or has sequestration of your estate been awarded, and (in either case) not discharged?	YES	NO
D.4	Are you subject to, or have you been subject to within the last 10 years, a disqualification order under the Company Directors Disqualification Act 1986?	YES	NO
D.5	Are you, or have you been subject to a confiscation order under the Proceeds of Crime Act 2002?	YES	NO
D.6	Have you previously held a position of ownership or control in another business subject to MLR17 Regulations?	YES	NO
D.7	If you have answered 'yes' to any of the above, please provide details below.		

## E CIVIL LIABILITIES

E.1 In the last five years, have you been the subject of any civil action relating to professional or business activities which resulted in a finding against you by a court, or a settlement being agreed?

YES

NO

If you have answered 'yes', please provide details below.

## F GOOD REPUTATION AND CHARACTER

F.1 In the last ten years, have you been:

a. refused or 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

b. refused entry to any professional body or trade association, or decided not to continue with an application;

YES

NO

c. reprimanded, warned about future conduct, disciplined or publicly criticised by any professional or regulatory body;

YES

NO

d. made the subject of a court order at the instigation of any professional or regulatory body; or

YES

NO

e. investigated on allegations of misconduct or malpractice in connection with your professional or business activities which resulted in a formal complaint being proved but no disciplinary order being made?

YES

NO

F.2 If you have answered 'yes' to any of the above, please provide details below.

## G DECLARATION

**Caution.** If you have made a false statement on this form, you may be committing an offence. We may seek to confirm the accuracy of the information you have provided.

I declare that:

- to the best of my knowledge, all the information I have given in this application is correct;
- I understand that ICAEW must be informed of any material changes to the information I have provided within 30 days of the change;
- I am aware of my responsibilities under MLR17;
- I agree that ICAEW may make such enquiries as it thinks fit to consider my application; and
- I have read and I understand the caution above.

Name

Signature

Date

### 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 to one of our offices in countries outside the European Economic Area (EEA). 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](https://www.icaew.com/dataprotection)