

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, 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.

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.

Fill in this form electronically, using the TAB key to move from one answer to the next. Sections 7 and 8 can be signed with a digital signature. Alternatively, save your completed form to your computer, print a copy and sign sections 7 and 8. Then send it to the address at the end of the form or email to regulatorysupport@icaew.com (we will contact you by phone to take your payment). If you have any questions as you are filling in the form, please call +44 (0)1908 546 302.

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 C00

Office number L00

or location if number not known

Address

Postcode/zipcode

Phone

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

ICAEW use A/

Principal applying

Title (eg, Mr, Mrs, Dr)

Surname of principal

First names of principal

Date of birth of principal

DD MM YY

Home address of principal or firm address

Postcode/zipcode

Home phone

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

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

DD MM YY

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

DD MM YY

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 previous firm

Number of previous firm (if known) C00

Number of current firm (if known) C00

Affiliate number (if known) (seven digits)

From

DD MM YY

to

DD MM YY

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

DD MM YY

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/zipcode

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

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

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

DD MM YY

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/regulations](https://www.icaew.com/regulations). 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](https://www.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.

Save a copy of your completed form for your records.

Send it by email to regulatorysupport@icaew.com and we will contact you by phone to take your payment.

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)