Ownership and control

Version: September 2023



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.

APPLYING FOR SUPERVISION UNDER ICAEW'S PRACTICE ASSURANCE SCHEME

WHEN TO USE THIS FORM

Please use this form if you want to apply for supervision in accordance with the Money Laundering, Terrorist Financing and Transfer of Funds (information on the Payer) Regulations 2017 (amended) (MLR17) and:

- your firm already has a C00 number; and
- you have completed an annual return in the last 12 months.

A FIRM DETAILS

A.1 Firm name

A.2 Firm number **C00**

B CONTROL

Please provide details of the individuals, or entities, which hold the voting rights in the entity applying for supervision.

If the entity applying for supervision is part of a group, you should give the names of the companies holding the shares in the entity applying, rather than the name of the individual who has 'effective' control through a group structure. In this circumstance, please also provide full details of the group structure including the ultimate beneficial owners, on a separate page.

For shareholders, please give:

Name of LLP members, partners or shareholders % voting rights Number of shares Nominal value

C MONEY LAUNDERING, TERRORIST FINANCING AND TRANSFER OF FUNDS (INFORMATION ON THE PAYER) REGULATIONS 2017 (AMENDED) (MLR17)

Has your firm previously been registered for sup	ervision under MLR 17?	YES	NO
If 'Yes' please give:			
previous MLR registration number			
 previous MLR supervisory body Signature 			
Date	DD MM YYYY		

Please send your signed and completed form, a separate Fit and Proper Declaration completed by every principal, nominated money laundering reporting officer and shareholder (holding more than 20% of the shares), who is not an ICAEW member or affiliate to amlr@icaew.com Alternatively, you may post them to:

Quality Assurance Department (AMLR) ICAEW Metropolitan House 321 Avebury Boulevard Milton Keynes MK9 2FZ



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

The Institute of Chartered Accountants in England and Wales (ICAEW), incorporated by Royal Charter RC000246 with registered office at Chartered Accountants' Hall, Moorgate Place, London EC2R 6EA

3 09/23