

Application for registration of a non-ACCA partner/director/controller or a non-partner/director responsible for Exempt Regulated Activities work in a firm seeking Exempt Regulated Activities registration



One form must be completed by each non-ACCA partner/director/controller and by each non-partner/director ie employee/consultant responsible for Exempt Regulated Activities work, in a firm which is seeking Exempt Regulated Activities registration from ACCA. Further copies can be found on ACCA's website (www.accaglobal.com/members/professional_standards) or requested from Authorisation (tel: +44 (0)141 534 4175) but photocopies are acceptable.

Please use BLOCK CAPITALS and black ink throughout. Please retain a photocopy of the completed form for future reference.

Please return the form to: Authorisation, ACCA, 2 Central Quay, 89 Hydepark Street, Glasgow G3 8BW, United Kingdom.

PERSONAL INFORMATION

Full name		Title	Date of birth
Business address			
Town		County	Postcode
Tel		Fax	
Email		Website	

Is there an ACCA partner/director at your business address? Yes No

If 'no' complete page 3 of this form and ensure it is signed by all the ACCA partners/directors.

EDUCATION

Please state Professional examinations passed or membership of professional bodies, with dates

Degrees held, with dates

EMPLOYMENT HISTORY

Please list below your employment history (including, and commencing with, your current post). If you held more than one position with the same employer, please list these separately.

Firm's/Employer's name

Address

Business

Job title

Responsibilities

Dates: From

To

Firm's/Employer's name

Address

Business

Job title

Responsibilities

Dates: From

To

Firm's/Employer's name

Address

Business

Job title

Responsibilities

Dates: From

To

(continue on a separate sheet if necessary)

DISCIPLINARY MATTERS

Please answer all of the following questions and, where 'yes' supply full details on a separate sheet.

Tick as applicable

- a i Has a petition for bankruptcy or for sequestration of your estate been presented against you at any time in the previous ten years? Yes No
- ii Are you aware that any such petition is pending? Yes No
- b Have you at any time in the previous ten years had a receiver appointed, failed to satisfy a debt adjudged due or a debt in respect of which a decree has been passed against you, or come to a compromise or similar arrangement with your creditors? Yes No
- c Have you at any time in the last ten years been subject to any disciplinary measures imposed on you by a regulatory and/or professional body of which you are, or were at the time, a member or by any other regulatory and/or professional body in the UK? Yes No
- d Have you been publicly criticised or disciplined in the UK or overseas in the last ten years by any organisation or body recognised or designated under the Financial Services Act 1986 or Financial Services and Markets Act 2000 or by any other professional body? Yes No
- e i Have any legal proceedings been successfully brought against you in relation to investment business over the previous three years? Yes No
- In the same period have you agreed, as a result of any such legal proceedings, any out of court settlements? Yes No
- ii Are you involved in any such proceedings at the time of this application? Yes No
- f Have you ever been convicted of an offence involving fraud or dishonesty or an offence under legislation (whether or not of the UK) relating to companies (including insider dealing), building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection? Yes No

UNDERTAKING BY ACCA PARTNERS/DIRECTORS

We hereby undertake to appoint _____ being an ACCA partner/director in the firm and in full-time practice in the UK holding a practising certificate issued by ACCA as the partner/director responsible for ensuring adherence to DPBR 7 (Compliance Procedures) in respect of non-ACCA partners/directors

Signed by each of the ACCA partners/directors in the firm

Full name	Signature	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

CONFIRMATION

If you have been subject to matters within the terms of bye-law 8 and Governance – Professional Conduct at ACCA is aware of this, you may sign and submit this form. If you are concerned that you may be subject to matters under bye-law 8 of which Governance – Professional Conduct is not already aware, please notify ACCA in writing to professionalconduct@accaglobal.com or 29 Lincoln's Inn Fields, London WC2A 3EE. Following this notification you may sign and submit this form.

I _____ (name of person detailed on page 1)

declare that the whole of the information contained in this form is true, accurate and complete to the best of my knowledge and belief. I acknowledge that any statement contained herein which is known by me to be false may invalidate any decision by the Council of ACCA or any of its Committees as to the eligibility of my firm for registration by ACCA to undertake exempt regulated activities. I further confirm that I have not been subject to any criminal, disciplinary, regulatory or any other matters within the terms of bye-law 8 (liability to disciplinary action) that may call into doubt the validity of my application, which I have not already brought to the attention of Governance – Professional Conduct. I understand that the UK Rehabilitation of Offenders Act 1974 does not apply to the accountancy profession, and that I am therefore required to disclose spent convictions. I am aware of, and will abide by, my continuing obligation to draw any such matters to ACCA's attention.

I also confirm that I am not ineligible to practise accountancy and undertake and agree to be bound by

- i the Chartered Certified Accountants' Global Practising Regulations 2003, Authorisation Regulations 1998 and Designated Professional Body Regulations 2001 (as amended from time to time) as if I was a member of ACCA;
- ii the Charter, all bye-laws and regulations of ACCA (and regulations made pursuant to the bye-laws) as if I was a member of ACCA (insofar as the same are appropriate and applicable) other than those relating to members' rights to attend and vote at meetings of ACCA and obligations to pay subscriptions;
- iii the regulations concerning liability of ACCA in damages for its acts and omissions; and
- iv the disciplinary procedures of ACCA and penalties which may be imposed under such provisions insofar as such penalties could be applicable to a person who is not a member of ACCA.

Signature

Date

- 8 a** A member, relevant firm or registered student shall, subject to bye-law 11, be liable to disciplinary action if:
- i** he or it, whether in the course of carrying out his or its professional duties or otherwise, has been guilty of misconduct;
 - ii** in connection with his or its professional duties, he or it has performed his or its work, or conducted himself or itself, or conducted his or its practice, erroneously, inadequately, inefficiently or incompetently;
 - iii** he or it has committed any breach of these bye-laws or of any regulations made under them in respect of which he or it is bound;
 - iv** in the case of a relevant firm, any person has in the course of the business of that firm committed any breach of these bye-laws or of any regulations made under them in respect of which that person is bound;
 - v** he is a specified person in relation to a relevant firm against which a disciplinary order has been made and which has become effective or which has been disciplined by another professional body or pursuant to some other disciplinary process;
 - vi** he or it has been disciplined by another professional body or pursuant to some other disciplinary process;
 - vii** he or it has made an assignment for the benefit of creditors, or has made an arrangement for the payment of a composition to creditors, or has had an interim order made by the court in respect of him, or is a specified person in relation to a relevant firm which has made such an assignment or composition or been wound up as an unregistered company, or entered into a voluntary arrangement, administration or liquidation, in each case where applicable under the Insolvency Act 1986, or other similar or analogous event has occurred in relation to him or it under applicable legislation; or
 - viii** he or it has failed to satisfy a judgment debt without reasonable excuse for a period of two months (and the fact that he or it did not have sufficient funds to discharge the debt shall not be a reasonable excuse for this purpose) whether or not the debt remains outstanding at the time of the bringing of the disciplinary proceedings hereunder.
- b** Each of the paragraphs in bye-law 8(a) shall be without prejudice to the generality of any of the other paragraphs therein.
- c** For the purposes of bye-law 8(a), misconduct includes (but is not confined to) any act or omission which brings, or is likely to bring, discredit to the individual or relevant firm or to the Association or to the accountancy profession.
- d** For the purposes of bye-law 8(a), in considering the conduct alleged (which may consist of one or more acts or omissions), regard may be had to the following:
- i** whether an act or omission, which of itself may not amount to misconduct, has taken place on more than one occasion, such that together the acts or omissions may amount to misconduct;
 - ii** whether the acts or omissions have amounted to or involved dishonesty on the part of the individual or relevant firm in question;
 - iii** the nature, extent or degree of a breach of any code of practice, ethical or technical, adopted by Council, and to any regulation affecting members, relevant firms or registered students laid down or approved by Council.
- e** The following shall be conclusive proof of misconduct:
- i** the fact that a member, relevant firm or registered student has pleaded guilty to, or been found guilty of, any offence discreditable to him or, as the case may be, it, or derogatory to the Association or the accountancy profession, before a court of competent jurisdiction in the United Kingdom or before a court of competent jurisdiction in any other country where such court's judgments are in the opinion of Council (or relevant committee of Council) relevant;
 - ii** the fact that a member, relevant firm or registered student has been found to have acted fraudulently or dishonestly in any civil proceedings before any court of competent jurisdiction in the United Kingdom or before a court of competent jurisdiction in any other country where such court's judgments are enforceable in the United Kingdom.