

## Application for Exempt Regulated Activities registration (UK)

This form should be completed if you wish your firm to undertake exempt regulated activities through ACCA under the Financial Services and Markets Act 2000.

Please read carefully section 6 of the *Practice Information handbook*, which can be found on ACCA's website [here](#), before completing this form.

Please retain a copy of the completed form for future reference. Please allow up to 30 working days for your application to be assessed.

Return the form to [authorisation@accaglobal.com](mailto:authorisation@accaglobal.com)

(Form RNM DPB (regulated non-member) is at page 13. One RNM DPB form must be completed by each non-ACCA partner/director/controller and by each non-partner/director responsible for exempt regulated activities work.)

Please note that all confirmations of registration are issued on a calendar year basis and are valid until 31 December each year only.

### Data protection

We may use the personal data provided on this form for the purposes of;

- Firm administration and application to register for exempt regulated activities
- regulation of the firm, and to contact nominated individuals
- responding to enquiries and investigating complaints
- complying with regulatory obligations

We may share information with our suppliers and our auditors, and relevant enforcement authorities where authorised by law. Please note that for individuals and firms based outside of the UK, your information will be held in ACCA's main information systems which are located in the UK and EU and may be accessed by ACCA's local office in your country of residence. ACCA processes information within the UK and EU, but may also transfer data outside of the UK and EU as part of its operations and service delivery.

For more information on how your personal information and rights are respected, please see our [privacy notice](#), or contact [privacy@accaglobal.com](mailto:privacy@accaglobal.com)

## REGISTRATION DETAILS

### A Compliance principal

Full name

ACCA membership number (if known/applicable)

### B Trading name of firm

Please ensure that this name agrees with the name on your letterhead. (Incorporated firms (limited companies and limited liability partnerships) – confirmations of exempt regulated activities registration will be issued in the name of the incorporated firm, not its trading name(s))

Name of firm

Firm's ACCA reference number (if known/applicable)

### C Registrations required

Please indicate which of the following services your firm requires registration to undertake on an incidental basis (firms undertaking these services as a mainstream activity must be authorised by the Financial Conduct Authority (FCA)). Further information is available on our website [here](#).

Regulated mortgages      Long-term care insurance (LTCI)      Other insurance distribution  
Non-insurance investment business      Credit-related regulated activities

(Information will be provided to FCA in order for it to maintain a register of firms eligible to undertake LTCI and/or other insurance distribution services. The name of the firm's nominated contact partner/director who will be responsible for such activities will also appear on the register. Responsibility rests with the sole practitioner or partner/directors of the firm to ensure that their firm is included on the Financial Services Register before undertaking LTCI and/or other insurance distribution services.)

### Firms undertaking insurance distribution work

Please answer the following three questions if your firm requires registration to undertake insurance distribution.

- 1 In order to undertake insurance distribution a firm is required to hold professional indemnity insurance (PII) cover of the equivalent of £1,500,000 in the aggregate and £1,000,000 on each and every claim.
- Please confirm that you already have in place the appropriate level of PII cover Yes No
- 2 Does anyone within either the management structure of your firm or the staff directly involved in insurance distribution\* have a criminal conviction for any serious offences\* relating to financial activities or crimes against property? Yes<sup>†</sup> No
- 3 Is anyone within either the management structure of your firm or the staff directly involved in insurance distribution\* an undischarged bankrupt? Yes<sup>†</sup> No

<sup>†</sup> Please provide details on a separate sheet.

\* 'Staff' means sub-contractors and consultants as well as employees.

### D Previous authorisation/registration

My firm has previously been granted/applied for exempt regulated activities registration or credit-related regulated activities registration from another Designated Professional Body (DPB) or full investment business authorisation or credit-related regulated activities registration from the FCA\* Yes No

\* You must select 'Yes' if your firm (or any of its principals) has made any form of application, including any application which was rejected or withdrawn, or which is still awaiting consideration.

If YES, please indicate which body ACCA ICAEW ICAS ICAI FCA

Was the application successful? Yes No

If no, please state the reasons on a separate sheet and attach it to this form.

### E Regulatory matters

Has your firm (or any of its principals/responsible individuals) ever been subject to any regulatory action in respect of audit, investment business, credit-related regulated activities or insolvency by a regulatory body? \*\* Yes No

\*\* You must select 'Yes' if your firm (or any of its principals/responsible individuals) has any pending regulatory matter(s) under investigation by a regulatory body.

If YES, please provide details on a separate sheet and attach it to this form.

Are you aware of any other regulatory matter(s) which may impact on your application? Yes No

If YES, please provide details on a separate sheet and attach it to this form.

### F Disciplinary matters

Have you (or any of your firm's principals/responsible individuals) ever been subject to any disciplinary action by a regulatory body? \*\*\* Yes No

\*\*\* You must select 'Yes' if you (or any of your firm's principals/responsible individuals) have any pending disciplinary matter(s) under investigation by a regulatory body.

If Yes, please provide details on a separate sheet and attach it to this form.

### G Composition of firm

Please select one box only

My firm is controlled by practising members of DPBs and contains ACCA principals

My firm is controlled by practising members of DPBs and contains **no** ACCA principals (the above compliance principal must apply for direct admission to ACCA membership as ACCA can only register firms for exempt regulated activities if at least one of the principals in the firm is an ACCA member. The relevant forms are available via ACCA's website [here](#) or by contacting ACCA Connect on +44 (0)141 582 2000.)

## CONDITIONS FOR EXEMPT REGULATED ACTIVITIES REGISTRATION

In signing this section of the form I confirm that I have read and understood the conditions for exempt regulated activities registration, and that:

### Eligibility

my firm is eligible for exempt regulated activities registration in accordance with the Chartered Certified Accountants' Designated Professional Body Regulations 2001 (DPBRs) 3(1), 3(2) and 3(3), as applicable, as it is:

a sole proprietorship and I hold an ACCA practising certificate valid for the UK;

or

a partnership or incorporated firm with at least one principal who is a member of ACCA and who holds an ACCA practising certificate valid for the UK; and

all other principals are entitled to practise accountancy and are members of another DPB or, in the opinion of Admissions and Licensing Committee, hold an adequate qualification; and

the principals who are members of ACCA or of another DPB manage or control the firm; and

each principal who is a member of ACCA holds a practising certificate valid in the UK.

### Undertakings

each principal/controller who is not a member of ACCA will give the undertakings to Admissions and Licensing Committee in either (a) or (b) below in accordance with DPBR 3(2)(b) and DPBR 3(3)(b), as applicable:

a member of another Designated Professional Body

"I confirm that I am a member of another DPB and undertake to agree to be bound by:

- i the Chartered Certified Accountants' Global Practising Regulations (GPRs) 2003, Authorisation Regulations 2014 and Designated Professional Body Regulations 2001 (as amended from time to time) as if I was a member of ACCA;
- ii all bye-laws, the Code of Ethics and Conduct and regulations of ACCA (and regulations made pursuant to the bye-laws) concerning or relating to the undertaking of exempt regulated activities as if I was a member of ACCA;
- 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."

b other individuals eligible to practise accountancy and who, in the opinion of Admissions and Licensing Committee, holds an adequate qualification

"I confirm that I am eligible to practise accountancy and undertake to agree to be bound by:

- i the Chartered Certified Accountants' Global Practising Regulations (GPRs) 2003, Authorisation Regulations 2014 and Designated Professional Body Regulations 2001 (as amended from time to time) as if I was a member of ACCA;
- ii the Charter, the Code of Ethics and Conduct, all bye-laws and regulations of ACCA (and regulations made pursuant to the bye-laws) concerning or relating to the undertaking of exempt regulated activities as if I was a member of ACCA;
- 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."

(Each principal or non-principal responsible for undertaking exempt regulated activities who is not a member of ACCA must provide additional information in a form specified by, and to the satisfaction of, Admissions and Licensing Committee. One copy of the appropriate form, RNM DPB, is attached to this form.)

### Main business

the main business of my firm is the provision of public practice accountancy services other than regulated activities in accordance with DPBR 3(6)(a) and 3(6)(b);

### Trading name of firm

the name of the firm specified on this form is the name under which exempt regulated activities are undertaken and that any change to the name of the firm will be notified 28 days in advance of the implementation of any change from the stated date of the change as required under GPR 12(1)(a)(i) and GPR 12(1)(b);

(If undertaking long-term care insurance and/or other insurance distribution services, this name will be provided to the Financial Conduct Authority (FCA) in order for it to maintain a register of firms eligible to undertake these services.)

### Overseas branches and offices

my firm with a branch (or branches) or office (or offices) outside of the United Kingdom shall be eligible to undertake exempt regulated activities in the UK from its UK branch (or branches) or office (or offices) (subject to the requirements of other relevant regulations);

**Other authorisations**

my firm does not hold investment business authorisation or credit-related regulated activities registration by FCA under the Financial Services and Markets Act 2000;

**Approval and withdrawal of registration, misconduct**

my firm accepts that its application for registration will be dealt with in accordance with the provisions laid down in the Authorisation Regulations 2014 (ARs) and ARs 3, 4, 5 and 6 in particular, and that its registration may be subject to conditions, suspensions or withdrawal as determined by ACCA in accordance with the ARs and DPBRs. It further accepts that breaches of the DPBRs and undertakings given thereunder by principals, or other persons connected with the firm may be treated as misconduct for the purpose of disciplinary proceedings against the firm and/or any of its principals;

**Prohibited activities**

my firm will not carry out any prohibited activities as detailed in DPBR 5(2);

**Arrangements with third parties**

my firm will not enter into arrangements with third parties that contravene DPBR 6(3);

**Notification, monitoring and enforcement**

my firm acknowledges its duty to notify ACCA in writing of all matters specified under GPR 12 and that such notification must, in certain circumstances, be given 28 days in advance. My firm undertakes to notify ACCA immediately in the event of any information previously supplied to it in support of a registration ceasing to be true, accurate or complete, or in the event of any change in circumstances, or the continuation of any registration granted. My firm will provide such information as necessary for ACCA to carry out its duties as a Designated Professional Body under the Financial Services and Markets Act 2000 ("the Act") and will co-operate with ACCA in its monitoring and enforcement of its regulations as required by GPR 14;

**Liability**

my firm acknowledges that in the course of registering it to undertake exempt regulated activities, neither ACCA nor any of its officers or servants or agents nor any members of any committee of Council shall be liable in damages or otherwise for anything done or omitted to be done in the discharge or purported discharge of any function under the Act set out below unless the act or omission is shown to have been in bad faith. The functions referred to above are the functions of ACCA so far as relating to or matters arising out of:

- a the bye-laws, regulations and arrangements of ACCA so far as they relate to or are applied in respect of the undertaking of exempt regulated activities under the Act or any matters concerning the Act and/or to which the requirements of the Act requires ACCA to comply;
- b any guidance issued by ACCA in respect of any matter dealt with by such rules as are mentioned in (a) above;
- c the obligations, powers and duties to which ACCA is subject by virtue of the Act;
- d any orders or directions given by the Financial Conduct Authority;

**Professional indemnity insurance**

my firm accepts its obligation to hold professional indemnity insurance cover of £1,500,000 in the aggregate and £1,000,000 on an each and every claim basis in order to undertake insurance distribution work. (Providing information to an intermediary or insurance company after an introduction has been made a regulated activity but will be exempt from the increased professional indemnity insurance requirement.)

**Credit-related regulated activities**

my firm shall comply with the provisions of the Consumer Credit Act 1974 and the provisions of secondary legislation made under that Act remaining in force, and shall ensure that its officers and employees (including sub-contractors and consultants) comply with all such legislation. When carrying on a credit-related regulated activity or an activity connected to that regulated activity, my firm will comply with the conduct provisions of the Consumer Credit sourcebook relevant to that activity and the FCA's Principles for Businesses referred to in 1.1.4G of that sourcebook as if they were authorised under the Act with a permission under Part 4A of the Act to carry on the relevant regulated activity.

**Conduct**

my firm shall comply with ACCA's Code of Ethics and Conduct in the conduct of exempt regulated activities.

**Disclosure of information**

my firm shall supply ACCA with all necessary information to enable ACCA to comply with its obligations to the FCA and other bodies in its capacity as a DPB.

**Anti-money laundering**

my firm will comply with the requirements of relevant anti-money laundering legislation and regulation, including specifically that:

- my practice has a nominated officer to take responsibility for compliance
- there are procedures in place to gather and retain evidence of the identification of all clients
- principals and staff in my practice receive appropriate training
- ongoing compliance monitoring is carried out
- suspicions of money laundering are reported as required by law.

(Where reference is made to the GPRs, applicants registering to undertake exempt regulated activities should note that they must also comply with the UK Annex to the GPRs. The regulations are contained in the [ACCA Rulebook](#) which can be found on ACCA's website at [www.accaglobal.com/rulebook](http://www.accaglobal.com/rulebook))

**Compliance principal's signature**

## PROFESSIONAL INDEMNITY INSURANCE AND CONTINUITY OF PRACTICE

### Professional indemnity insurance

I detail below the name of my firm's insurer and policy number/I enclose a quotation document as evidence that I have applied for a policy and undertake to provide details of my policy number to ACCA once it has been confirmed.\*

Insurance company

Policy number

\* Delete as applicable

### Continuity of practice

My firm has made arrangements for continuity of practice

in the partnership agreement or memorandum and articles of association

**OR**

with the following firm which has exempt regulated activities registration or full investment business authorisation

Name of firm

Professional body

Address

Town

County

Country

Postcode

## OFFICE DETAILS

The principal office address of this firm is

Town

County

Postcode

Tel

Email

Website

**Incorporated firms only:** is this the firm's registered address?

Yes

No

If no, please ensure that the firm's registered address is clearly indicated below or attached on a separate sheet.

The branch offices of this firm are (please continue on a separate sheet if necessary)

**A**

Town

County

Postcode

Tel

Email

**B**

Town

County

Postcode

Tel

Email

**C**

Town

County

Postcode

Tel

Email

## COMPOSITION OF FIRM

Each principal (including compliance principal) must sign below. In signing this section, each principal expressly gives the undertakings contained in pages 2 – 4 and 11 of this form.

Continue on a separate sheet if necessary.

### A ACCA principals

Office (ie principal or A, B, etc. as above)	Name	ACCA membership number	Signature
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### B Non-ACCA principals\*

Office	Name	Qualification (if any)	Signature
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### C Non-principals, ie employees or consultants, undertaking ERA on behalf of the firm\*

Office	Name	Qualification (if any)	Signature
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(\* Each person at 'B' and 'C' must complete a form RNM DPB. In the case of those at 'B', this is irrespective of whether or not they undertake ERA on behalf of the firm. The RNM DPB form is attached at page 13 and additional blank RNM DPB forms can be found on the website [here](#)).

## SHAREHOLDER DETAILS

This section is to be completed by incorporated firms only ie limited companies and, where applicable, limited liability partnerships.

**A** Share capital (not applicable to limited liability partnerships)

Authorised share capital<sup>†</sup> shares of £ each. Shares issued

<sup>†</sup> Not applicable to companies formed on or after 1 October 2009.  
If there is more than one share category, please provide full details on a separate sheet.

**B** Company registration number

Country in which registered

Date of latest Annual Return to Registrar of Companies

**C** Shareholders (limited liability partnerships should use this section to provide the voting rights of partners)

**Directors**

i **ACCA directors who are shareholders** (please continue on a separate sheet if necessary)

Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%

ii **Non-ACCA directors who are members of other DPBs who are shareholders** (please continue on a separate sheet if necessary)

Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%

iii **Directors who are not members of ACCA or other DPBs who are shareholders** (please continue on a separate sheet if necessary)

Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%
Name	Percentage of voting rights exercisable at general meetings	%

**Controllers** (Do not include persons already included above. Please continue on a separate sheet if necessary.)

iv **Non-directors who are ACCA members and controllers of 10% or more of voting rights**

Membership no. Name

Address

Postcode Signature

Enter the percentage of voting rights exercisable at general meetings %

Membership no.

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

v **Non-directors who are not members of ACCA but who are members of other DPBs who are controllers of 10% or more of voting rights\*\***

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

vi **Non-directors who are not members of ACCA or other DPBs who are controllers of 10% or more of voting rights\*\***

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

(\*\*Each non-ACCA controller must complete a form RNM DPB irrespective of whether or not they undertake ERA on behalf of the firm.)

vii **Percentage of total voting rights held by those named at C(i), (ii), (iv) and (v)** %

If this total is less than 50%, ensure that you indicate below (by annotations in the margin) which of the remaining shareholders are members of ACCA or another DPB.



viii **Other shareholders** (please continue on separate sheet if necessary)

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

Name

Address

Postcode

Signature

Enter the percentage of voting rights exercisable at general meetings %

## CLOSE LINKS

Please provide details of the identities of any other persons who have close links\* with the firm, together with information to enable ACCA to determine that those close links do not prevent the effective exercise of ACCA's supervisory functions.

\* 'Close links' has the meaning given by article 13 point 17 of Directive 2009/138/EC, and comprises a situation in which two or more persons are linked by control or participation, or a situation in which two or more persons are permanently linked to one and the same person by a control relationship.

**1 Does your firm have close links?\*** Yes      No

If Yes, please provide the required information below about the close links and a structure chart which shows the nature of the relationship between the firm and each close link.

### Natural persons

Name	Date of birth	Address
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Continue on a separate sheet if necessary

Structure chart provided on a separate sheet

### Legal persons

Name	Address	Is the entity regulated?
		Yes      No

Continue on a separate sheet if necessary

Structure chart provided on a separate sheet

**2 Are you aware of any information to suggest that any close link is likely to prevent ACCA's effective supervision of the firm?** Yes      No

If Yes, please provide details below

Continue on a separate sheet if necessary

## CONFIRMATION

If you (or any of your firm's principals or responsible individuals) have been subject to matters within the terms of **Bye-law 8** and ACCA's Assessment and Investigations Team are aware of this, you may sign and submit this form. If you are concerned that you (or any of your firm's principals or responsible individuals) may be subject to matters under **Bye-law 8** of which ACCA's Assessment and Investigations Team are not already aware, please notify ACCA in writing to [ComplaintAssessment@accaglobal.com](mailto:ComplaintAssessment@accaglobal.com). Following this notification you may sign and submit this form.

On behalf of my firm, I confirm that the information in this application form is true, accurate and complete to the best of my knowledge and belief after making all reasonable enquiries. I understand that a false declaration on this form may lead to disciplinary action being taken against me and/or my firm and may invalidate any decision relevant to this application. I confirm that I have read, and undertake to comply with the conditions for the issue of a firm's exempt regulated activities registration. I further confirm that neither I nor the firm nor any of its principals/responsible individuals have been subject to any criminal, disciplinary, regulatory or any other matters within the terms of **bye-law 8** (liability to disciplinary action) or GPR 8 (fit and proper persons) that may call into question my firm's eligibility for registration, which I have not already brought to the attention of ACCA's Assessment and Investigations Team in writing. I am aware of, and will abide by the notification requirements set out in GPR 12 and my continuing obligation to promptly notify ACCA of any matters which may make me or my firm liable to disciplinary action. I understand that I am required to disclose any unspent convictions and/or cautions and any spent convictions and/or cautions that are not 'protected' as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2013 and 2020). I am aware of, and will abide by, my continuing obligation to draw any such matters to ACCA's attention.

Compliance principal's signature

Date

## ENCLOSURES

### Attached forms

Completed RNM DPB for each principal/controller who is not a member of ACCA and each employee/consultant undertaking ERA on behalf of the firm.

### CHECKLIST

Before you send your application to ACCA please check you have:

- Signed the conditions for exempt regulated activities registration on page 4
- Provided professional indemnity insurance details on page 5
- Provided continuity of practice details on page 5
- Completed the 'Close links' section on page 10
- Signed the confirmation on page 11.
- Completed a RNM DPB form for each principal, employee or consultant who is not a member of ACCA.

Please return this form to [authorisation@accaglobal.com](mailto:authorisation@accaglobal.com)

## BYE-LAW 8 – LIABILITY TO DISCIPLINARY ACTION

- 8 a** A member, relevant firm or registered student shall, subject to byelaw 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 byelaws 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 byelaws 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 or regulatory body;
  - vi he or it has been disciplined by another professional or regulatory body;
  - 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;
  - viii he or it has failed to satisfy a judgment debt without reasonable excuse for a period of two months (the burden resting on him or it to prove such a reasonable excuse on the balance of probabilities) whether or not the debt remains outstanding at the time of the bringing of the disciplinary proceedings hereunder;
  - ix before a court of competent jurisdiction in the United Kingdom or elsewhere, he or it has pleaded guilty to, been found guilty of, or has accepted a caution in relation to, any offence discreditable to ACCA or to the accountancy profession; or
  - x before a court of competent jurisdiction in the United Kingdom or elsewhere, in any civil proceedings in which he or it has been a party or witness, he or it has been found to have acted fraudulently or dishonestly.
- b** Each of the paragraphs in byelaw 8(a) shall be without prejudice to the generality of any of the other paragraphs therein.
- c** For the purposes of byelaw 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 ACCA or to the accountancy profession.
- d** For the purposes of byelaw 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 the Council, and to any regulation affecting members, relevant firms or registered students laid down or approved by Council.
- e** For the purposes of byelaw 8(a)(ix), a copy of the certificate or memorandum of conviction or caution, and of any final judgment, ruling or determination given in the criminal proceedings, shall be conclusive proof of the conviction or caution, and of any facts and matters found, as the case may be.
- f** For the purposes of byelaw 8(a)(x):
- i where the person in question was a party to the proceedings, a copy of a certified judgment of the civil proceedings shall be conclusive proof of the facts and matters found;
  - ii where the person in question was a witness in the proceedings, a copy of a certified judgment of the civil proceedings shall be prima facie evidence of the facts and matters found.
- g** Subject to byelaw 8(f) above, any other finding of fact in any civil proceedings before a court of competent jurisdiction in the United Kingdom or elsewhere shall be admissible as prima facie evidence in any disciplinary proceedings.



## Application for regulated non-member status for DPB

This form should be completed by an individual or corporate body who is (or intends to be) a principal in a firm holding (or applying for) DPB registration who is **NOT** a member of ACCA, ICAEW, ICAS or CAI. If the individual or body corporate intends to be a principal in a firm holding (or applying for) an ACCA firm’s auditing certificate for the UK there is a combined audit and DPB application form available on our website [here](#).

Please refer to the further resources on ACCA’s website before completing this form. Please retain a copy of the completed form for future reference and allow up to 30 working days for the application to be assessed.

Return the completed form to [authorisation@accaglobal.com](mailto:authorisation@accaglobal.com)

### Data protection

We may use your personal data for the purposes of:

- administration of your regulated non-member application
- sending you publications and other communications
- responding to enquiries and investigating complaints
- complying with our regulatory obligations

You can update your information by contacting ACCA at any time. We may share information with our suppliers and our auditors.

Please note that for individuals based outside the UK, your information will be held in ACCA’s main information systems which are located in the UK and EU and may be accessed by ACCA’s local office in your country of residence. ACCA processes information within the UK and EU, but may also transfer data outside of the UK and EU as part of its operations and service delivery.

For more information on how your information and rights are respected, please see our [privacy notice](#), or contact [privacy@accaglobal.com](mailto:privacy@accaglobal.com)

## PERSONAL INFORMATION

Full name	Title
Mailing address	
Town	County
Country	Postcode
Email	Date of birth

## PRACTISING DETAILS

### Principal applying

Firm’s name	
Head office address	
Town	County
Country	Postcode
Tel	Email
Website	
Date individual became (or will become) a principal in the firm	

## PRACTISING DETAILS (cont'd)

### Corporate body applying

Firm's name

Head office address

Town

County

Country

Postcode

Tel

Email

Website

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

Companies House registration number

## CONDITIONS FOR THE ISSUE OF REGULATED NON-MEMBER STATUS

### To be completed by the applicant

In signing this section of the form I confirm that I have read and understood the conditions for the issue of regulated non-member status, and that:

#### A Fit and proper person

None of the matters or events referred to in the Chartered Certified Accountants' Global Practising Regulation (GPR) 8 applies to me or to any person referred to in the corresponding annex(es);

#### B Notification

I will comply with GPR 12 and will notify in writing to ACCA all matters specified in that regulation and will provide such notification at least 28 days in advance of the relevant event. I undertake to notify ACCA immediately in the event of any information previously supplied to it in support of my application ceasing to be true, accurate or complete, or in the event of any change in circumstances, or any event which may call into doubt the validity of my application, or the continuation of any certificate granted;

#### C Conduct of public practice

I will comply with GPR 13, ACCA's Code of Ethics and Conduct and all technical, quality control and ethical standards/guidelines applicable to my work;

#### D Monitoring and compliance

I am aware of the requirement of GPR 14 and will supply all such information as is necessary to enable ACCA to complete its monitoring programme efficiently;

#### E Disclosure of information

I will comply with GPR 15 and will supply to ACCA all necessary information to enable it to comply with obligations with respect to any legal and regulatory requirements that may exist in the country where I am based.

#### F Investigation of complaints

I will comply with the Association's investigation arrangements, which may be performed by the UK competent authority or any recognised supervisory body to which the UK competent authority has delegated tasks in accordance with regulation 3 of the Statutory Auditors and Third Country Auditors Regulations 2016 (as amended from time to time);

#### G Anti-money laundering

I will comply with the requirements of relevant anti-money laundering legislation and regulation, including specifically that:

- my practice has a nominated officer to take responsibility for compliance
- there are procedures in place to gather and retain evidence of the identification of all clients
- principals and staff in my practice receive appropriate training
- ongoing compliance monitoring is carried out
- suspicions of money laundering are reported as required by law.

#### H UK competent authority

I agree to be bound by the procedures, rules and guidance, as may be issued from time to time by the UK regulatory authority in the exercise of its statutory functions.

(Where reference is made to the GPRs, applicants should note that they must also comply with Annex 1 to the GPRs. The GPRs are contained in the ACCA Rulebook which can be found on ACCA's website [here](#)).

Signature

## FIT AND PROPER

Applicants for regulated non-member 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

- 1 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.

- 2 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.

- 3 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

- 4 Have you at any time pleaded guilty to or been found guilty of any offences?

YES NO

If 'Yes', please give details.

- 5 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.

- 6 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

- 7 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.

- 8 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.

- 9 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.

- 10 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.

- 11 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.

- 12 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.

- 13 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.



14 Are you currently undergoing investigation or disciplinary procedure as described in 8, 9 or 10?

YES NO

If 'Yes', please give details.

**Questions 15 – 19 apply to corporate body applicants only**

15 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.

16 Has the corporate entity ever had an administration order made against it on grounds of insolvency?

YES NO

If 'Yes', please give details.

17 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.

18 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.

19 Is the corporate entity currently undergoing investigation or disciplinary procedure as described in 8, 9 or 10?

YES NO

If 'Yes', please give details.

## DECLARATION BY TWO CHARTERED CERTIFIED ACCOUNTANTS

This declaration should be signed by the two most senior chartered certified accountant principals in the firm. If there are only two principals in an applicant's firm, of whom one is the applicant, confirmation shall be provided by the chartered certified accountant principal and also by a member of ACCA who is not an employee of the firm. If the applicant is a corporate body, two independent chartered certified accountants will need to sign the declaration below rather than a principal within the corporate body.

We confirm that, in our opinion, the applicant is a fit and proper person to be granted regulated non-member status with ACCA.

### First referee

Name

Firm name

Membership number I have known the applicant for years

Signature Date

### Second referee

Name

Firm name

Membership number I have known the applicant for years

Signature Date

## APPLICANT'S CONFIRMATIONS AND UNDERTAKINGS

I hereby apply to be accepted as a regulated non-member under the DPB (Investment Business) Regulations

I understand that I shall not be entitled to describe myself as a chartered certified accountant and that regulated non-member status does not confer any rights, acknowledgements, status or designatory letters on a regulated non-member or entitle a regulated non-member to be publicly represented as having such.

I understand that if I provide any false, inaccurate or misleading information in this form I may be referred to the professional conduct department of the body of which I am a member for consideration as to possible disciplinary action for dishonest conduct, and may also invalidate any decision reached in this application.

I also confirm that I agree to be bound by:

- i the Chartered Certified Accountants' Global Practising Regulations 2003, Designated Professional Body Regulations 2001, Designated Professional Body Regulations 2001, Authorisation Regulations 2014 and Complaints and Disciplinary Regulations 2014 (as amended from time to time) as if I was a member of ACCA\*;
- ii the Charter, Code of Ethics and Conduct, 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.

\* ACCA's regulations are available on our website [here](#).

**Print full name of principal or principal representing the body**

**Date**

**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 ACCA 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 regulations**

The Royal Charter, bye-laws Audit Regulations and Guidance, DPB regulations and Code of Ethics are published at [www.accaglobal.com/rulebook](http://www.accaglobal.com/rulebook)