

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 partner, director or controller (ie a 'controller' is a shareholder who controls 15% or more of the voting rights) in the firm who is not a member of ACCA or another Designated Professional Body (DPB). Further copies can be found on [ACCA's website](http://www.accaglobal.com/practising) (www.accaglobal.com/practising) or requested from Authorisation (tel: +44 (0)141 5344175) but photocopies are acceptable.

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

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.

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

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 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 Ireland/UK? Yes No
- d Have you been publicly criticised or disciplined in Ireland/UK or overseas in the last ten years by any organisation or body recognised or designated under the Irish Investment Intermediaries Act 1995 or the 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 your 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 other dishonesty or an offence under legislation (whether or not of Ireland) relating to other 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 byelaw 8 and ACCA's Assessment and Investigations Departments are aware of this, you may sign and submit this form. If you are concerned that you may be subject to matters under byelaw 8 of which ACCA's Assessment and Investigations Departments are not already aware, please notify ACCA in writing to complaintassessment@accaglobal.com or ACCA, The Adelphi, 1/11 John Adam Street, London WC2N 6AU.

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 authorisation by ACCA under the Investment Intermediaries Act 1995. I further confirm that I have not been subject to any criminal, disciplinary, regulatory or any other matters within the terms of byelaw 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 ACCA's Assessment and Investigations Departments. I understand that I am required to disclose any unspent convictions and/or cautions that are not 'protected' as defined by the Rehabilitation of Offenders Act 1974 9Exceptions) Order 1975 (as amended in 2013). 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 2014 and Irish Investment Business Regulations 2013 (as amended from time to time) as if I was a member of ACCA;
- ii the Charter, all byelaws and regulations of ACCA (and regulations made pursuant to the byelaws) 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

BYELAW 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 body;
 - vi he or it has been disciplined by another professional 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.