

Member Notification of Disclosure Event or Notification Event

By-Law 40.8

Under the By-Laws, Disclosure Events and Notification Events must be notified to the Professional Conduct Committee within seven (7) days of becoming aware of such events.

Disclosure Events

Please complete **all sections except 4** and return the application to Chartered Accountants Australia and New Zealand (CA ANZ) (see **page 4** for contact details).

Notification Events

Please complete **all sections except 3** and return the application to Chartered Accountants Australia and New Zealand (CA ANZ) (see **page 4** for contact details).

1. A Disclosure Event¹ occurs when a Member or a Practice Entity of which a Member is a Principal:
 - a) is convicted of a Serious Criminal Offence;
 - b) is convicted of any offence under the Tax Administration Act 1953 of the Commonwealth or any offence under analogous legislation in any other jurisdiction;
 - c) suffers an Insolvency Event; or
 - d) does something or suffers an event specified in any Regulations as being a Disclosure Event for the purposes of Section 5 of these By-Laws.

2. A Notification Event occurs when a Member or a Practice Entity of which a Member is a Principal, becomes aware that the Member or Practice Entity:
 - a) has committed an Offence or a Firm Event has occurred;
 - b) has been charged with any Serious Criminal Offence;
 - c) has been the subject of an adverse or unfavourable finding in relation to that Member's professional or business conduct, competence or integrity (including in relation to direct discrimination, vilification, sexual harassment, harassment or bullying in the workplace and/or work-related), by any body, including any court of law, tribunal, professional body, royal commission, statutory authority, regulatory authority, statutory body, commission or inquiry, which is empowered by law to make such findings;
 - d) with or without any admissions, has given or entered into an undertaking (whether enforceable or not) or consented, accepted or agreed to any order in connection with any matter or proceedings or any threatened or proposed proceedings or any review, audit or investigation by any statutory or regulatory authority or body, or professional body in any jurisdiction in Australia, New Zealand or elsewhere (other than an undertaking or order in respect of procedural matters in respect of or in the course of the conduct of the proceedings or investigation).

Section 1 – Member or Notifying Principal's Details

Title	Mr	Mrs	Miss	Ms	Other	
Full Name						
Practice Entity (if notifying as a Notifying Principal)*						
*Please also provide evidence of authorisation to act on behalf of the Practice Entity and attach a list of all Principals on whose behalf this notification is made)						
Email Address*					Membership Number	
<small>*CA ANZ will use this email address to communicate with you unless you advise alternate contact details</small>						

¹ Capitalised terms are as defined in the By-Laws.
Disclosure Event

Section 2 – What type of notification is this?

Disclosure Event– go to sections 3 and 6.

Notification Event– go to sections 4 and 6.

Section 3 – Disclosure Event

3.1 What was the Disclosure Event?

3.2 When did it occur?

3.3 Is there any further information you would like to provide? Please provide copies of all relevant supporting documentation. If insufficient space annex page(s) to this form

Within 21 days of a Disclosure Event, you are also required to send a statement to the Professional Conduct Committee setting out the circumstances of the Disclosure Event and reasons why you consider that your Membership should not be affected, including suspended (whether or not on an interim basis) or terminated as a result of the Disclosure Event. If you wish, you should gather any relevant evidence including from referees, to explain any mitigating or extenuating circumstances.

[Section 4](#) overleaf >

Section 4 – Notification Event

4.1 What was the Notification Event?

4.2 When did it occur?

4.3 Is there any further information you would like to provide? Please provide copies of all relevant supporting documentation. If insufficient space annex page(s) to this form

Section 5 – Privacy notice

Chartered Accountants Australia and New Zealand ABN 50 084 642 571 (CA ANZ) and its subsidiaries, controlled entities and the New Zealand Institute of Chartered Accountants (NZICA), a regulated body established under the *Institute of Chartered Accountants Act 1996* (NZ) (each **we**, **us** or **our**) collect, hold, use and disclose your personal information for the purpose of investigating the facts and circumstances of the Disclosure Event or Notification Event, including any reviews or appeals in connection with the Disclosure Event or Notification Event and to communicate with you in connection with the investigation and outcome. We may also collect your personal information from third parties in connection with the Disclosure Event or Notification Event. We may disclose your personal information to third parties, including investigators, legal advisors, mediators, reviewers and/or members of the Professional Conduct Committee and/or a Disciplinary Tribunal and participants in meetings and disciplinary hearings. We may also disclose your personal information to third parties, including agents, contractors and service providers where we outsource functions. Your information will also be used and disclosed as set out in our Privacy Policy, available at www.charteredaccountantsanz.com/privacy. If you are submitting this form as a Notifying Principal, you are required to be duly authorised by the Practice Entity to do so.

We are permitted to process your information for the above purposes, by relying on one or more of the following lawful grounds: (a) you have explicitly agreed to us processing such information for a specific reason; (b) the processing is necessary to perform the

agreement we have with you or to take steps to enter into an agreement with you; (c) the processing is necessary for us to comply with our legal obligations; or (d) the processing is necessary for our legitimate interests, including to efficiently and effectively resolve your complaint. Where you have consented to our processing of such information (including any special categories of personal data) you may withdraw such consent at any time (where your local data protection and privacy laws specifically provide you with this right), by contacting us using the contact details in our Privacy Policy. Please note, however, that in certain circumstances it may be still lawful for us to continue processing this information even where consent has been withdrawn, if one of the other legal bases described above is applicable. It is likely that your personal information will be disclosed to overseas recipients (as provided in our Privacy Policy, including the location of those entities) in which case your personal information will be treated securely and in accordance with data protection laws, including putting in place appropriate safeguards. The Privacy Policy sets out the contact details of our Privacy Officer and information regarding your rights (including how to withdraw your consent, if applicable) and how we handle your personal information including how you can seek to access and correct your information or raise a privacy concern with us and how it will be dealt with as well as details about the disclosure of your information to entities overseas.

If you have any questions or concerns about this Privacy Notice, our Privacy Policy or how we handle your personal information, please contact our Privacy Officer.

Section 6 – Signature

I have read, understood and agree to the terms set out in the Privacy Notice and the CA ANZ Privacy Policy.

Signature¹

Date

¹ CA ANZ cannot accept this form until signed

Capacity (eg Member, Notifying Principal)

Section 7 – Submitting your form

Please send your completed form and supporting documentation to:

Email

membercomplaints@charteredaccountantsanz.com

or **Post**

Conduct & Discipline
Chartered Accountants Australia and New Zealand
GPO Box 9985
Sydney NSW 2001

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