

Application by a Qualifying Principal for Approval of a New Practice Entity

Applicable to members offering accounting services in New Zealand only

Please fill in the Practice membership number, if known

--	--	--	--	--	--	--	--	--	--

Please complete **ALL** of the sections below, and return the application with payment to Chartered Accountants Australia and New Zealand (CA ANZ). Please print in **BLOCK LETTERS**.

Section 1 - Practice details

Name of Practice entity

Trading name

(if difference from above)

Legal structure of the practice

(eg Sole trader, company, partnership, trading trust, etc)

Please note: Where the practice entity is part of a group or associated with another practice/s please attach the organisation details and a practice structure diagram.

Section 2 - Practice contact details

Street address

Suburb/City

Postcode

Country

PO Box address

Postcode

Country

Email

Web address

Phone (business)

Fax (business)

Preferred postal address

Street address

Postal address

Section 3 - Principals of the Practice Entity

Please list all partners, principals, trustees, directors of the practice entity

Name	Member ID (if applicable)	% holding in the practice entity	Actively involved in the provision of professional services (if any)	Chartered member who holds a Certificate of Public Practice	Non Member Principal of NZICA or Affiliate member of CA ANZ
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section 4 - Professional services to be provided

Please advise the nature of the services the practice will be offering. Select the appropriate option

	Yes	No		Yes	No
Business Advisory Services	<input type="checkbox"/>	<input type="checkbox"/>	Tax Compliance Services	<input type="checkbox"/>	<input type="checkbox"/>
Business/Share Valuation Services	<input type="checkbox"/>	<input type="checkbox"/>	Restructuring, Insolvency and Turnaround Services	<input type="checkbox"/>	<input type="checkbox"/>
Specialist Tax Advice	<input type="checkbox"/>	<input type="checkbox"/>	Audit and Assurance Services	<input type="checkbox"/>	<input type="checkbox"/>
Corporate Finance Services	<input type="checkbox"/>	<input type="checkbox"/>	Other Accounting Services	<input type="checkbox"/>	<input type="checkbox"/>

If other is selected, please provide details:

Section 5 - Professional Indemnity Insurance

The NZICA Rules require that the practice entity shall at all times have professional indemnity insurance cover that is adequate and appropriate to the nature and scale of the accounting services it offers to the public.

Does the practice entity have professional indemnity insurance as described above? Yes No

Level of cover:

Please attach appropriate supporting documentation to this application.

Privacy Collection Statement

New Zealand Institute of Chartered Accountants (NZICA or we) is a body corporate established under the New Zealand Institute of Chartered Accountants Act 1996 (NZ). NZICA collects, holds, uses and discloses personal information (as defined in applicable legislation) about you in accordance with the privacy policy of Chartered Accountants Australia and New Zealand (CA ANZ) available at <http://www.charteredaccountants.com.au/privacy> (CA ANZ Privacy Policy).

Some of the personal information we collect comprises 'sensitive information' (as defined in applicable legislation) including information relating to membership of a trade or professional association or union, criminal records, health or other sensitive information to the extent that it is reasonably necessary for one or more of the functions or activities of NZICA.

NZICA collects your personal information to fulfil its statutory role in regulating the professional conduct of CA ANZ members resident in New Zealand. If you do not provide personal information, we may not be able to process your new practice entity application.

NZICA and CA ANZ may disclose personal information to each other and each of our respective agents, contractors and service providers (such as where we outsource functions to third parties), to local and international professional bodies and other regulators and government and statutory bodies in New Zealand and Australia. We may also collect information about individuals from a third party (such as other professional bodies with which we have reciprocal arrangements). It is likely that personal information will be disclosed to overseas recipients as provided in the CA ANZ Privacy Policy.

The CA ANZ Privacy Policy also sets out how you can seek to access and correct your personal information or raise a privacy concern or complaint and how it will be dealt with as well as details about the disclosure of your personal information to entities overseas.

CA ANZ is formed in Australia. Our members are not liable for our debts and liabilities.

I have read, understood and agree to and consent to the CA ANZ Privacy Policy and the Privacy Collection Statement above.

ADDITIONAL PROVISIONS FOR EU DATA SUBJECTS

The following additional provisions apply to you if the (EU) 2016/679 General Data Protection Regulation (GDPR) applies to you. GDPR will apply to you if you are or become a resident of the member states of the EU, Norway, Iceland and Liechtenstein (EU data subjects).

Lawful grounds: Under the GDPR, we are permitted to process your information for the purposes described above, by relying on one or more of the following lawful grounds: (a) you have explicitly agreed that we may process your 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 obligation; or (d) the processing is necessary for our legitimate interests, which include: (i) to protect our business interests; (ii) to ensure that complaints, including complaints about member conduct, are appropriately investigated; (iii) to evaluate, develop or improve our products and services; or (iv) to keep our members informed of relevant products and services, unless you indicate that you do not wish us to do so. We generally rely on your specific consent to process special categories of personal data (i.e., 'sensitive information'). However, in some cases (for example, relating to an alleged offence), we may need to use some of that information to comply with our legal obligations.

Withdrawing your consent: Where you have consented to our processing of your information (including special categories of personal data), you may withdraw your consent at any time. To do so, contact us using the details set out in our Privacy Policy. In some cases we may lawfully continue to process your information even after you withdraw your consent, by relying on the legal bases described above. Other important information such as transferring your personal data outside the European Economic Area information, your specific GDPR rights over your personal data and how and when we retain and destroy your personal data is explained in our Privacy Policy.

I, the undersigned, being a member of Chartered Accountants Australia and New Zealand (CA ANZ) holding a NZICA Certificate of Public Practice and a partner/principal in _____ a practice entity (as defined in Appendix IV of the NZICA Rules) which may describe itself as an Approved Practice Entity

<ul style="list-style-type: none"> • Confirm that all individuals/entities with responsibility for the standard of professional work undertaken as a principal of the practice entity have been named in this form and agree to provide such evidence of the practice entity participants as required by CA ANZ • Undertake that on any change in directors, shareholders or principals of the practice entity by which the practice entity member ceases to comply with the requirements of Appendix IV of the NZICA Rules relating to Public Practice, CA ANZ will be notified immediately • Confirm the existence of a contract of professional indemnity insurance which: is valid and binding; and is adequate and appropriate to the practice 	<ul style="list-style-type: none"> • I have read and agree to be bound by CA ANZ's Supplemental Royal Charter, By-Laws and Regulations (and the NZICA Act and NZICA Rules to the extent they apply to me), all applicable Codes of Ethics, guidelines and any documents prescribing any ruling on the standards or practice and professional conduct, including the technical standards, as required by CA ANZ and NZICA (if applicable). • I agree to abide by the lawful decisions of the CA ANZ Board and NZICA Regulatory Board (if applicable) and any Regional or Local Council, Professional Conduct body, Standing or other Committees or Officer of CA ANZ or NZICA (if applicable) who may, in accordance with the Supplemental Royal Charter or the By-laws, NZICA Act or NZICA Rules (if applicable) have delegated functions or powers to make lawful decisions.
--	---

Signature

Full name
 Date

Section 7 - Payment details

Application fee: \$525 (including GST)

Payable by:

Visa Mastercard Amex

Card no.

Expiry date /

Cardholder name

Cardholder signature

Section 8 - Checklist

- | | |
|--|---|
| <input type="checkbox"/> All relevant sections of the application form have been completed | <input type="checkbox"/> Copy of the Certificate of Incorporation (if applicable) |
| <input type="checkbox"/> Payment details provided | <input type="checkbox"/> Copy of Company constitution (if applicable) |
| <input type="checkbox"/> A copy of practice entity letterhead (if applicable) | <input type="checkbox"/> Copy of Trust Deed (if applicable) |

Section 9 - Submitting your application form

HOW TO SUBMIT YOUR FORM

Please email your completed form to:

EMAIL assessment@charteredaccountantsanz.com

OR



If you have a 'digital signature' simply click the submit button

ANY QUESTIONS

If you have any questions you can contact the Service Centre at:

EMAIL service@charteredaccountantsanz.com

PHONE

AUSTRALIA	1300 137 322
	+61 2 9290 5660 (outside of Australia)
	8AM-6PM (AEST) Monday – Friday
	(excl. Public Holidays)
NEW ZEALAND	0800 4 69422
	+64 4 474 7840 (outside of New Zealand)
	8AM-6PM (NZ time) Monday – Friday
	(excl. Public Holidays)

WEBSITE charteredaccountantsanz.com

Explanatory notes to the New Practice Entity application

PRACTICE ENTITY DETAILS

Please provide both registered postal and street addresses if they differ. If any of these details change you should advise Registry Services Helpdesk immediately to avoid any delay in receiving information and goods.

GENERAL INFORMATION – PRACTICE ENTITY

A Certificate of Public Practice (CPP) holder makes the application to use an Approved Practice Entity under the NZICA Rules, particulars of which are provided below and in Appendix IV.

In consideration of the Regulatory Board consenting to the appointment of those members named in the application as Qualifying Principals of the Approved Practice Entity, the Qualifying Principal(s):

(a) Acknowledge that the principals named in Section 3 of this application shall be responsible for and accountable to CA ANZ and NZICA for the conduct of the Approved Practice Entity and that they shall be liable to disciplinary action for any failure by the Approved Practice Entity to comply with the Institute's Act, Rules and Code of Ethics

(b) Declare that the members named, will hold current CPPs and will continue to hold such Certificates so long as the members are Qualifying Principals of the Approved Practice Entity:

(c) Undertake;

(i) to procure compliance by the Approved Entity with the Rules;

(ii) to inform CA ANZ of any proposed or actual change in relation to the name, principals (including non-member principals), percentage voting rights, shareholders and share capital (if applicable), composition of the board of all directors (if applicable), registered office and to procure the entity to provide such other information in respect of the Approved Practice Entity as the Regulatory Board may from time to time require;

(iii) to continue to maintain in force a contract of insurance which provides the Approved Practice Entity with professional indemnity cover appropriate to the nature and scale of the accounting services it offers to the public, and to advise the Institute if the contract of insurance is refused, cancelled or lapses;

(iv) to comply with all Financial Reporting obligations relating to the treatment of goodwill, as well as comply with all other reporting requirements that are applicable to the Approved Practice Entity, in the preparation of the financial statements of the Approved Practice Entity