

# Notification Event

(By-Laws 40(3.3) and 40(3.4))

A Notification Event occurs when a Member (not including Members resident in New Zealand) becomes liable to disciplinary sanctions under [By-Law 40\(2.1\)](#) for any reason other than in respect of a Disclosure Event.

Capitalised terms as defined in the By-Laws.

**Under the By-Laws, a Notification Event must be notified within seven days of occurrence.**

## PRIVACY NOTICE

Chartered Accountants Australia and New Zealand ABN 50 084 642 571 (Chartered Accountants ANZ) including 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**) collects, holds, uses and discloses your personal information for the purpose of investigating the facts and circumstances of the Notification Event, including any reviews or appeals in connection with the Notification Event and to communicate with you in connection with the Notification Event. We may also collect your personal information from third parties in connection with the Notification Event. We may disclose your personal information to third parties, including investigators, mediators, and/or members of a professional conduct committee and/or disciplinary tribunal and participants in meetings and disciplinary hearings. We may also disclose your personal information to agents, contractors and service providers, such as 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](http://www.charteredaccountantsanz.com/privacy). We are permitted to process your information for the above purpose, 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 provide you with a smooth and efficient customer experience. 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.

## Member details

Title  Mr  Mrs  Miss  Ms  Other If other  Membership number

Given name/s (in full)  Family name

Email address\*

\* Chartered Accountants ANZ will use this email address to communicate with you unless you advise alternate contact details

## Notification event

What was the notification event

When did it occur

Is there any further information you would like to provide? Please provide copies of all relevant supporting documentation

If insufficient space annex pages to this form

## Signature

I have read, understood and consent to the Privacy Notice at the beginning of this form and the Privacy Policy of Chartered Accountants ANZ

Signature†

Date

† Chartered Accountants Australia and New Zealand cannot accept this form until signed

## To submit this form

**EMAIL** to [membercomplaints@charteredaccountantsanz.com](mailto:membercomplaints@charteredaccountantsanz.com) or **POST** to Conduct & Discipline  
 Chartered Accountants Australia and New Zealand  
 GPO Box 9985  
 Sydney NSW 2001