

# ASSOCIATE APPLICATION

This form is to be completed by AIA Graduates applying for Associate Membership.

**ALL sections must be completed, unless they are not applicable. If a section is not applicable please enter the initials N/A.** Please complete all sections in **ENGLISH** and **BLOCK CAPITALS** using **BLACK INK**.

The form **MUST** also be signed and dated in English. Failure to meet these requirements will delay the processing of your application.

**Note:** AIA operates a policy which offers equality of opportunity regardless of gender, ethnicity, colour, disability, religion, age, sexual orientation, or marital status.

## 1.0 PERSONAL DETAILS

### NOTES

Mr, Mrs, Miss, Ms or specify others

Full Chinese or Muslim names should be entered here

Any Western/Christian names should be entered here

Please state your name in English and in BLOCK CAPITALS as you would like it to appear on your AIA certificates

Please provide your full HOME address as follows:

House number or name – Street name – Town – County – Post/zip code and Country

If you would prefer your correspondence to be sent to an address other than your home address, please provide details here - this should NOT be a college address

Please provide area codes for all telephone numbers and state if home or work by circling the correct option

Day/Month/Year

### PLEASE COMPLETE

Title:

Surname/Family Name:

First Names:

Certificate Name:

Home Address:

Town:

County:

Post /Zip Code:

Country:

Preferred Postal Address:

Town:

County:

Post/Zip Code:

Country:

Email:

Telephone:

Home/Work

Fax:

Date of Birth: \_\_ / \_\_ / \_\_\_\_

Gender: Male / Female

Nationality:

AIA Registration Number:

Our default means of contact is electronic. If you would prefer to not receive information electronically please tick (✓)



## 2.0 EMPLOYMENT

### Guidance Notes:

Please provide details for your current employment below and record in Section 3 details of any additional employment that make up the three years' Initial Professional Development (IPD) requirement.

General guidance and information on IPD can be found in the Student Guide and in the IPD Guide which can be downloaded from the AIA website [www.aiaworldwide.com](http://www.aiaworldwide.com).

NON PUBLIC PRACTICE	PUBLIC PRACTICE
Name of Employer:	Name of Practice:
	Type of Practice:
	Date Established:
Type of Business:	Sole Practice/Partnership:
	Full or Part Time:
Address	Address
Street:	Street:
Town:	Town:
County/State:	County/State:
Post/Zip Code:	Post/Zip Code:
Country:	Country:
Telephone:	Telephone:
Fax:	Fax:
Email:	Email:
Position Held:	Position Held:
Date of Commencement:	Date of Commencement:

## 3.0 PREVIOUS ACCOUNTING EXPERIENCE

Employer's Name and Address and Email Please include the nature of the business.	Date From	Date To	Position Held

## 4.0 REFERENCES

<b>BUSINESS REFERENCE</b> (to be completed by your current supervisor)
<b>Name of Referee:</b>
<b>Company Name and Address:</b>
<b>Email:</b>
<b>Position Held:</b>
<b>Professional Qualifications and Registration Number*:</b>

\*AIA reserves the right to contact the Professional Body named to confirm membership.

<b>PERSONAL REFERENCE</b>
<b>Name of Referee:</b>
<b>Address:</b>
<b>Email:</b>
<b>Relationship to Applicant:</b> (e.g. friend, colleague. Please note it is not acceptable to use a relative e.g. brother/wife)

## 5.0 ACADEMIC & PROFESSIONAL QUALIFICATIONS

### Guidance Notes:

Please send photocopies of all your Further and Higher Educational Certificates and Professional Certificates. Do not send in original certificates as AIA cannot give any assurance that these will be returned to you. If you no longer have your original certificate please provide a letter from the institution that awarded the qualification verifying the title of the qualification and the date it was awarded to you. If your certificates are not in English please send in translated copies plus certified copies of the original.

ACADEMIC QUALIFICATIONS				
Further Education/Higher Education Qualifications				
University/College	Course Title	Length of Course	Qualification Achieved	Date Awarded

PROFESSIONAL QUALIFICATIONS			
Name of the Professional Body/Bodies of which you are a member	Type of Membership	Was your membership by examination or another route? Please specify	Date of Admission

## 6.0 ADDITIONAL REQUESTS

### AIA STATUTORY AUDITOR QUALIFICATION: UK APPLICANTS ONLY

As a Recognised Qualifying Body (RQB) under the Companies Act 2006, the AIA offers a Recognised Professional Qualification (RPQ) for those wishing to become statutory auditors in the UK.

To become a statutory auditor in the UK, candidates must first meet all current criteria for Associate membership including completion of UK papers in Company Law and Taxation. In addition, three years approved practical audit training is needed, two of which must be undertaken after admission to membership. Those wishing to count their final year of pre-membership training (IPD) for the purpose of becoming an auditor must have that training approved by the Association in advance.

Because of the particular requirements to be met where the RPQ is the objective, all applicants are required to declare their intention (or not) to seek this qualification as opposed to the membership only qualification.

If you would like further information on the AIA RPQ please contact Membership Services to request the 'Guide to Becoming a Statutory Auditor,' e: [membership@aiaworldwide.com](mailto:membership@aiaworldwide.com).

I am applying for:

**STATUTORY AUDITOR QUALIFICATION**  **ASSOCIATE MEMBERSHIP ONLY**

Please tick (✓) one box only

## 7.0 FIT AND PROPER STATUS

### 7.1 FINANCIAL RESPONSIBILITY AND RELIABILITY

Have you, in the last ten years, had a court judgement made against you for a debt or made a compromise arrangement with your creditors; have you ever been declared bankrupt or been subject to bankruptcy procedures; have you ever, in respect of your creditors, signed a trust deed, made an assignment for their benefit or made any arrangements for the payment of a composition to them?

Yes  No

## 7.2 CONVICTIONS OR CIVIL LIABILITIES

Have you been found guilty of any offence; or subject to civil or court action relating to your professional business activities or your directorship or management of any company? Offences for which the conviction is spent for the purposes of the Rehabilitation of Offenders Act England and Wales 1974 (or equivalent legislation as may apply in other jurisdictions) provided that you have satisfied the conditions for rehabilitation and motoring offences that did not lead to disqualification or a prison sentence need not be mentioned. In respect of a conviction which is not spent under the Act, details are required regarding the offence, penalty imposed, the court which convicted you and the date of conviction.

Yes  No

## 7.3 GOOD REPUTATION AND CHARACTER

Have you had any actions taken against you restricting your trade, business or profession; had any finding against you in respect of misconduct or malpractice in your business or profession; been subject to disciplinary finding against you by an employer or professional body; been refused entry to or excluded from membership of any profession or vocation; been dismissed or required to resign from any office; employment or partnership; been disciplined or publicly criticised or subject to court order by any regulatory body or officially appointed enquiry with the regulation of a financial, professional or other business activity?

Yes  No

Are you currently undergoing any investigations or disciplinary procedures described in 3 above?

Yes  No

If the answer is 'Yes' to any of the questions above please provide details on a separate sheet and attach this to your application.

## 8.0 DECLARATIONS

### 8.1 AIA CODE OF ETHICS

All AIA students are required to undertake training in professional values, ethics and attitudes as part of their professional accounting education. AIA has adopted the Code of Ethics for Professional Accountants (The IESBA Code) and all new students are required to download and read this code before submitting their application for student registration. Please go to the AIA website at [www.aiaworldwide.com](http://www.aiaworldwide.com) to access the Code. Applicants who wish to follow the RPQ are also required to undertake training in and comply with, the code of ethics published by the Financial Reporting Council (FRC).

Please tick (✓) the box to confirm that you have downloaded, read and will comply with the AIA Code of Ethics

### 8.2 RPQ APPLICANTS ONLY

Please tick (✓) the box to confirm that you have downloaded, read and will comply with the FRC Code of Ethics

## 8.3 CONTINUING PROFESSIONAL DEVELOPMENT

As part of the requirements for your AIA membership, you must undertake Continuing Professional Development (CPD) and ensure you have the knowledge and skills to fulfil your role and responsibilities as a professionally qualified accountant. All applicants for Associate Membership are therefore asked to confirm that they have downloaded the CPD Guide from the AIA website [www.aiaworldwide.com](http://www.aiaworldwide.com), that they have read this Guide and that if accepted as a member, they agree to comply fully with the requirements as stated.

Please tick (✓) the box to confirm that you have downloaded and read the CPD Guide, that you agree to undertake the required number of CPD units and will complete the necessary documentation as stipulated in the Guide.

## 8.4 MEMBERS IN PRACTICE & QUALITY ASSURANCE: UK APPLICANTS ONLY

As an Associate member you should be familiar with AIA Quality Assurance procedures and status as a supervisory authority in respect of the Money Laundering Regulations 2007. Therefore all applicants for Associate membership are requested to download and read the regulations, quality assurance, monitoring and disciplinary procedures governing members holding an AIA Practising Certificate. These can be found in the Members in Practice Guide on the AIA website [www.aiaworldwide.com](http://www.aiaworldwide.com).

Please tick (✓) the box to confirm that you have downloaded and read the Members in Practice Guide

## 9.0 APPLICATION, CONFIRMATIONS & UNDERTAKINGS

### Guidance Notes:

A copy of the AIA Constitutional Documents incorporating the Memorandum of Association, Articles and Bye-Laws is available from the AIA website [www.aiaworldwide.com](http://www.aiaworldwide.com). A copy of the AIA Article 74, 'Liability to Disciplinary Action' can be found at the end of this application form.

The Associate registration fee includes an annual subscription which must be renewed on 1 October to continue membership status. Once an application has been processed the registration fee will not be refunded.

Please **DO NOT** send cash with your application.

### TO THE COUNCIL

#### I hereby apply for Associate Membership.

I enclose my completed credit card payment form OR cheque/draft/postal order, made payable to the **Association of International Accountants**

for the registration fee of £  Cheque/Draft No:  Date:

I attach the information required by the Council which I acknowledge to be the basis of my application for membership of AIA, and which I declare contains an accurate summary of all facts relating to my professional or business status which influence the acceptance or otherwise of this application.

I confirm that I have read through and fully understand the AIA Article 74 'Liability to Disciplinary Action' as set out and there is nothing I should bring to the Association's notice in that connection.

I confirm that I have downloaded, read and will comply with the AIA Code of Ethics.

I confirm that I have downloaded, read and will comply with the FRC Code of Ethics. (RPQ applicants only).

I confirm that I have downloaded and read the CPD Guide and that I agree to undertake the required number of CPD units as stipulated in this Guide.

I confirm that I have downloaded and read the AIA Members in Practice Guide.

I undertake, if admitted, that so long as I remain a member of the AIA I will observe all the provisions of the Memorandum and Articles of Association, Bye-Laws, Rules and Regulations of the AIA for the time being in force.

I further undertake that I will not use the professional style or designation 'International Accountant' or any designatory letters denoting membership, except while I remain a member of the AIA.

I understand that AIA Membership will not convey any entitlement to the AIA Recognised Professional Qualification which is recognised for the purpose of activity as a statutory auditor under the Companies Act 2006 (unless I have chosen to follow that route), nor does it entitle me to reciprocal admission to overseas bodies.

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## 10.0 DATA PROTECTION

The details provided on this application form are entered on the AIA database for administrative and regulatory use in accordance with AIA registration under data protection legislation.

AIA does not sell mailing lists to third parties; however, it does carry out controlled mailings on behalf of third parties where the product concerned is deemed likely to be of interest to accountants.

If you do not wish to receive these mailings please tick (✓) here

## 11.0 SUBMISSION

Please submit your completed application to:

### MEMBERSHIP SERVICES

Association of International Accountants  
Staithes 3, The Watermark, Metro Riverside  
Newcastle upon Tyne  
NE11 9SN  
United Kingdom

**T:** +44 (0)191 493 0277

**F:** +44 (0)191 493 0278

**E:** [membership@aiaworldwide.com](mailto:membership@aiaworldwide.com)

**W:** [www.aiaworldwide.com](http://www.aiaworldwide.com)

# ASSOCIATE APPLICATION

## AIA ARTICLE 74 DISCIPLINARY PROCEEDINGS

### LIABILITY TO DISCIPLINARY ACTION

74. (1) A Member, Elected Member or Student shall be liable to disciplinary action if:
- (a) he has been guilty of misconduct whether in the course of carrying out his professional duties or otherwise;
  - (b) he has in the performance of his professional work or the conduct of his practice or the performance of the duties of his employment shown inefficiency or incompetence to such an extent or with such frequency as to bring discredit to himself; to the Association or to the accountancy profession;
  - (c) he (or any employee of his) has committed any breach of the Articles or the Bye-Laws (or any regulations made under them) or the Code of Ethics in respect of which he is, or has agreed to be, bound;
  - (d) he has failed as an individual or as a partner to satisfy a judgement debt; has made an assignment for the benefit of creditors or under any resolution of creditors or order of the court has had his estate placed in liquidation for the benefit of creditors or has made any arrangement for the payment of a composition to creditors;
  - (e) he has failed to comply with any order requirement or advice of the Investigations, Disciplinary or Appeal Committee;
  - (f) he has failed to co-operate with the Association in disciplinary proceedings brought against him;
  - (g) the Member is guilty of any gross default or misconduct in connection with or affecting the business of the Association;
  - (h) the Member becomes bankrupt or makes any composition or enters into any arrangement with his creditors
  - (i) the member is convicted of any arrestable criminal offence ( other than an offence under road traffic legislation in the united kingdom or elsewhere for which a fine or non-custodial penalty is imposed);
  - (j) the Member is guilty of any fraud, dishonesty or conduct tending to bring himself of the Association into disrepute;
  - (k) the Member is disqualified from holding office in a company in which he is concerned or interested because of wrongful trading under the insolvency Act 1986;
  - (l) the Member shall become of unsound mind or become a patient under the Mental Health Act 1983;
  - (m) the Member is convicted of an offence under the Criminal Justice Act 1993.
- (2) A Firm shall be liable to disciplinary action if:



- (a) it has carried out its professional duties in a manner which makes it guilty of professional misconduct for which purpose such misconduct includes (but not exclusively) any act or default likely to bring discredit on the Firm itself, the Association or the profession of accountancy;
  - (b) the Firm has failed or neglected to respond adequately or at all to correspondence from the Association or any person acting on behalf of the Association or has not fully co-operated with any enquiry or investigation being conducted by or on behalf of the Association;
  - (c) the Firm has carried on its professional duties so incompetently or inefficiently whether singularly or on a number of occasions so as to bring discredit to itself, the Association or the profession of accountancy;
  - (d) the Firm is in breach of the Articles of Association Bye-Laws or regulations made under them and where that breach is capable of remedy has failed to rectify that breach within the time prescribed by the Association;
  - (e) the Firm has failed to satisfy a judgment debt obtained in any jurisdiction;
  - (f) the Firm has failed to comply with any requirement order or fine made against it by the Association;
  - (g) the Firm has failed despite repeated requests to put into effect advice given to it by the Association.
- (3) Where the Firm has been found liable or has pleaded guilty to any offence in a Court of competent jurisdiction concerning drug trafficking, money laundering, tax evasion, or a serious breach of companies legislation to which the Firm is subject, or complicity in any such offences, or has in any proceedings had a finding of fraud or dishonesty made against it such finding shall unless the contrary is demonstrated amount to proof of misconduct.
- (4) Liability to disciplinary action in accordance with paragraph (1) (2) and (3) above shall extend to circumstances in which the occurrence giving rise to such liability took place wholly or partly before the person in question became a Member, Elected Member, or Student or wholly or partly before the Firm became a Firm.
- (5) For the purposes of paragraph (1) and (2) above misconduct includes any act or default likely to bring discredit to the Member, Elected Member, Firm, or Student in question or to the Association or accountancy profession or any act or default which is a breach of the Association's Code of Ethics.
- (6) Where a Member, Elected Member, Firm, or Student has before a court of competent jurisdiction of any country, pleaded guilty to or been found guilty of any offence discreditable to him or to the Association or the accountancy profession or has in any civil proceedings before any court of competent jurisdiction been found to have acted fraudulently or dishonestly, that fact shall be prima facie evidence of misconduct unless the contrary is shown.
- (7) The findings of a court in any civil proceedings whatsoever may be treated as prima facie evidence of misconduct unless the contrary is shown.
- (8) Subject to paragraph (9) of this Article, disciplinary proceedings in respect of a Member, Elected Member, Firm, or Student shall be regulated by these Articles and by any Bye-Laws or regulations made thereunder.
- (9) It shall be the duty of every Member, Elected Member, Firm or Student at all times to co-operate with the Investigations, Disciplinary and Appeal Committees appointed pursuant to these presents and it shall be the duty of every Member to use his best endeavours to ensure that every Firm of which he is a member shall do likewise.