

# Cancellation of a Certificate of Public Practice (CPP)

Please fill in the Practice Entity's **Identification Number**, if known (please use a **BLACK** pen)

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Please complete **ALL** the sections (1 – 5) below, and return the application to Chartered Accountants Australia and New Zealand (CA ANZ) (see page 5 for contact details). **Please print in BLOCK LETTERS.**

## Section 1 – Personal details

Title  Mr  Mrs  Miss  Ms  Other

Given name/s (in full)  Family name

Preferred name  Date of birth (DD/MM/YYYY)  /  /

## Section 2 – Contact details

### 1. Residential contact details

Street address  Suburb/City

State  Postcode  Country

PO Box address

State  Postcode  Country

Email (home)

Phone (home)   Mobile

### 2. Business contact details

Company name

Position in company

Street address  Suburb/City

State  Postcode  Country

PO Box address

State  Postcode  Country

Email (business)

Phone (business)   Mobile

Firm type  Chartered  CPA  Public Accounting  Other (please specify)

3. Preferred contact details

Postal address:  Residential street address  Residential PO Box address  
 Business street address  Business PO Box address

Email address:  Home  Business

**Section 3 – Registrations/Authorities**

Please indicate whether you hold any of the following registrations/authorities.

	Yes	No	Registration number
1. Are you a Registered Company Auditor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
2. Are you a Registered Company Liquidator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
3. Are you a Registered Tax Agent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
4. Are you a Registered BAS Agent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
5. Are you a Registered Trustee in Bankruptcy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
6. Are you a Registered Tax (Financial) Advisor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
7. Are you an Approved SMSF Auditor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
8. Are you a reviewer of Second Tier Companies Limited by Guarantee in accordance with the <i>Corporations Act 2001</i> ?	<input type="checkbox"/>	<input type="checkbox"/>	
9. Do you provide, or are you a director of a company that provides, personal advice on investments, superannuation or life insurance under an Australian Financial Services Licence?	<input type="checkbox"/>	<input type="checkbox"/>	

If you answered NO, please go to question 10.

If you answered YES:

a) Which situation(s) apply/ies to you personally?

- (i) I personally hold an AFS Licence
- (ii) I am an authorised representative under an AFS Licence
- (iii) I operate under a corporate authorised representative under an AFS Licence
- (iv) I am a director of an entity which holds an AFS Licence
- (v) I am an employee or other Representative (other than the above) under an entity which holds an AFS Licence

b) What is your Financial Adviser Number (per ASIC's Financial Advisers Register)?

c) What type of AFSL do you operate under?  Full  Limited  Limited authority under a full licence

d) Name of the licence holder

e) AFS Licence Number

f) What type of client do you provide services to?  Retail  Wholesale  Retail and Wholesale

10. Australian Credit Licence (ACL)

a) I personally hold an ACL Yes  No

b) I am a representative of an ACL Yes  No

**If you ticked 'Yes' to either 10(a) or 10(b) please provide the following details:**

Full name of the ACL

ACL number

## Section 4 – Do I need a Certificate of Public Practice (CPP)?

1. Are you resident in Australia? Yes  No

**If you answered NO, you are not required to hold a CA ANZ CPP. Proceed to Section 5.**

**If you answered YES, answer ALL OF Question 2 parts a to f:**

2. Check the response that relates to your situation.

a) Do you personally or as a **Principal of a practice entity** provide services which are **Public accountancy services** to the public for reward? Yes  No

b) Do you personally or as a **Principal of a practice entity** provide services to the public for reward which require the holding of any of the registrations/licences in Section 3 above (excluding Questions 9 (iv) and (v) and 10)? Yes  No

c) Do you personally, or as a **Principal of a practice entity**, undertake for reward any reviews of Second Tier Companies Limited by Guarantee in accordance with the Corporations Act 2001? Yes  No

d) Do you personally, or as a **Principal of a practice entity** provide services:  
• required under legislation or other statutory authority;  
• to the public;  
• for reward; that are  
• public accountancy services? Yes  No

e) Do you personally, or as a **Principal of a practice entity** provide services:  
• to the public;  
• as a Chartered Accountant;  
• for reward? Yes  No

f) Are you a Principal of a practice entity in which your fellow principal/s would answer YES to any of the questions a) to e) above? Yes  No

More information is available in the [Do I need a CPP](#) tool.

**...> IF THE ANSWER TO ANY OF A) TO F) ABOVE IS YES, THEN YOU NEED A CPP AND CANNOT CANCEL IT.**

## Section 5 – Cancellation of Certificate of Public Practice (CPP)

### CPP cancellation statement

I,

would like to cancel my CPP with the Chartered Accountants Australia and New Zealand.

Effective date

### Further information

Please provide details of the reason for seeking cancellation of your CPP. (Please attach additional sheets if the space provided is insufficient.)

## Section 6 – Declaration

Please indicate your acceptance of these undertakings by crossing the boxes beside each statement:

- I attest that the information supplied is true and correct, and agree to produce such further evidence and information in relation to this application as may be required by CA ANZ
- I am aware that it is a requirement that professional indemnity insurance be maintained through a period of not less than seven (7) years after ceasing practice (refer to Regulation CR2A for further details)
- I acknowledge that the information provided is made with due consideration of my obligations as a member of CA ANZ to uphold the principles of integrity, ethical practice, due care and professional behaviour
- I undertake to advise CA ANZ of any change in my circumstances that may require re-application for a CPP.

By signing this form below, I declare that the information provided in this form is complete, true and correct. This form can be signed by manual signature or electronic signature (whether digital or encrypted). If this form is signed by electronic signature, it will have the same force and effect as a manual signature.

Signature

Full name

Date

## Section 7 – Privacy statement

### PRIVACY STATEMENT

#### IMPORTANT: YOUR CONSENT TO DISCLOSURE

By providing personal information to us in this form you consent to CA ANZ:

- (a) Disclosing to third parties, including representatives of your firm, or any members affected by your membership status, any actual or likely changes to your status as a member or with respect to your Certificate of Public Practice, including but not limited to, the outcome of this application form.
- (b) Disclosing to regulators, law enforcement bodies, professional associations and government or statutory bodies the details of any final adverse determinations (including sanctions) in relation to your professional and/or ethical conduct that are made by CA ANZ's Professional Conduct bodies; and
- (c) Collecting from third parties information relating to your membership of a trade or professional association or union, your criminal record (if any), your health, religious beliefs or affiliation, racial or ethnic origin and any other sensitive information to the extent that it is reasonably necessary for one or more of the functions or activities of CA ANZ.

We collect, use and disclose your personal information in connection with your application, the management and administration of members and/or programs, the provision of products and services and/or to communicate with you.

If you do not provide your personal information, we may be unable to process your application. We may disclose your information to agents, contractors and service providers such as where we outsource functions and to other third parties such as local and international professional bodies, ASIC and other regulators and government bodies. We may also have collected information about you from a third party, for instance from other professional bodies with which we have reciprocal arrangements. Your information will also be used and disclosed as set out in CA ANZ's Privacy Policy, available at [www.charteredaccountantsanz.com/privacy](http://www.charteredaccountantsanz.com/privacy). 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). The Privacy Policy sets out how CA ANZ handles 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.

This Privacy Statement also applies to and is adopted by the New Zealand Institute of Chartered Accountants (**NZICA**). NZICA may collect, store, use and disclose your personal information in the performance of its regulatory functions under the New Zealand Institute of Chartered Accountants Act 1996 (NZ) in accordance with this Privacy Statement. CA ANZ is formed in Australia. Our members are not liable for our debts and liabilities.

**I have read, understood and agree to all CA ANZ's Privacy Policy and the important information contained in the Privacy 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

### HOW TO SUBMIT YOUR FORM

Please email your completed form to:

**EMAIL** [assessment@charteredaccountantsanz.com](mailto: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 Member Support Team at:

**EMAIL** [service@charteredaccountantsanz.com](mailto: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](http://charteredaccountantsanz.com)

# Application to cancel a Certificate of Public Practice (CPP)

*It is essential you read the following notes prior to the completion of Section 3 and 4.*

## GLOSSARY OF TERMS

**AFS Licensee** means an individual or body corporate or partnership authorised by an AFS licence to provide particular financial services.

### Authorised representative of an AFSL Licensee

A person authorised to operate under the licence of an AFS licence holder. Authorised representatives are recorded on an Authorised Representatives Register

### Full AFS Licensee

An individual or body corporate or partnership holding a licence issued by ASIC to provide financial services other than solely those services specified under "Limited AFS Licensee" For example, an AFS licensee who can provide financial product advice about securities (rather than 'class of product advice' about securities) is not a limited AFS licensee because financial product advice about securities is not covered in the list below.

### Limited AFS Licensee

The term 'limited AFS licensee' describes individuals, companies and any other firms which hold an AFS licence that authorises them to provide only one or more of the following limited financial services:

- Financial product advice about:
  - self-managed superannuation funds (SMSFs)
  - a client's existing superannuation holdings, to the extent required for making a recommendation to establish an SMSF or providing advice to a client on contributions or pensions under a superannuation product.
- Class of product advice about:
  - superannuation products
  - securities
  - simple managed investment schemes
  - general insurance products
  - life risk insurance products
  - basic deposit products.
- Arranging to deal in an interest in an SMSE.

**Practice** means a business providing professional services including services which require the holding of a current Certificate of Public Practice by the individual Member who is a Principal.

**Practice entity** means a partnership, an incorporated company, trust or any combination or partnership of these by or through which the member performs any of the functions of a member in public practice.

**Principal** in relation to a Practice means any person, who is a principal of the Practice or a principal, partner, director, officer or trustee of a related Entity of the Practice.

Factors to consider in determining whether a person is a principal of a practice entity include whether:

- They have responsibility for the standard of professional work undertaken by the practice entity and management of the practice's activities, including: client selection and retention, determining the terms of the professional engagement, the type and quality of professional services provided, risk management, and the exercising of professional judgement in ethical and technical matters
- Their individual acts are binding on the practice or other principals of the practice
- They have the potential for personal liability for the practice's liabilities
- They have a role in the governance of the practice
- They have responsibility for signing off on professional engagements
- They are acknowledged in the PI policy of the practice as a person responsible for professional engagements
- They are promoted to clients and potential clients as the person responsible for professional engagements
- The perception of clients and suppliers of the member is of a person who is able to bind the practice
- A principal, partner, director, officer or trustee of a related entity of the practice may also be considered to be a principal of a practice entity.

Note: The absence of an equity holding in the practice by the member is not a conclusive factor in determining whether a member is a principal. Similarly an ownership interest in a practice is not necessarily the sole factor in determining whether a member is a principal of a practice entity. For example, an employee is not considered to be a principal merely where a share in ownership is incorporated into their employee remuneration package.

**Principal of a practice entity** includes:

- (a) In the case of a Practice Entity which is a partnership, a partner of that partnership
- (b) In the case of a Practice Entity which is a body corporate, a director of that body corporate
- (c) In the case of a Practice Entity which is conducted as a trust, an individual who, as an officer or employee of the trustee of that trust or otherwise, provides or participates as a principal in the provision of the services provided by the practice entity
- (d) An individual who, as an officer or employee of the practice entity, or otherwise, provides or participates as a principal in the provision of the services provided by the practice entity.

**Public accountancy services**

Our Board has determined that “public accountancy services” includes:

- Accounting
- Auditing
- Management consulting
- Taxation
- Financial management
- Insolvency
- Forensic accounting
- Risk management
- Corporate advisory services
- Financial planning services
- Business valuation services (from 1 January 2018)

**Representative of AFS Licensee**

You are a ‘representative’ of an AFS licensee if you are:

- an ‘authorised representative’ of that AFS licensee
- an employee or director of the AFS licensee
- an employee or director of a related body corporate of the AFS licensee, or
- otherwise acting on behalf of the AFS licensee