## routes to entry

DIRECT APPLICATION

AIA offers two routes for direct admission to membership:

### Route 1 – EU Mutual Recognition of Qualifications

This route is available to applicants who have the right to practice in the UK under current European Communities (Recognition of Professional Qualifications) Regulations, by virtue of satisfying the requirements referred to therein and any amendments imposed pursuant to these regulations.

### Route 2 – Membership of an IFAC Member Body Based Outside the UK

This route is applicable if an applicant is a current, full member, having successfully completed the exams, of an International Federation of Accountants (IFAC) member body, which is based outside the UK, and has no disciplinary action pending.

Associate and Affiliate IFAC member bodies are excluded from this scheme. Some restrictions apply to UK IFAC member bodies and you should seek further advice from the AIA Recruitment Department before completing the application form.

### I am applying for direct membership of AIA under:

|  |  |  |  |
| --- | --- | --- | --- |
| Route 1 |  | Route 2 |  |
| FeesDirect membership is awarded on a like-for-like basis; therefore if you are a Fellow member of an IFAC member body, then you are eligible to apply for Fellow membership of AIA.Fellow Application FeeThe Fellow application fee is £370, which includes an administration fee and your first year’s annual subscription of £200 which must be **renewed annually on 1 October** to retain Registered Status. This fee also includes a certificate which verifies the successful completion of the course.Associate Application FeeThe Associate application fee is £355, which includes an administration fee and your first year’s annual subscription of £185 which must be **renewed annually on 1 October** to retain Registered Status. This fee also includes a certificate which verifies the successful completion of the course.Administration FeeThe administration fee is £150 and is non-refundable, therefore before submitting your application, please check that you meet the eligibility criteria. Details can be found at [www.aiaworldwide.com/prospective-associate.html](http://www.aiaworldwide.com/prospective-associate.html). If you wish to discuss your eligibility, please contact the Recruitment Department, **T:** +44 (0)191 493 0282, **E:** recruitment@aiaworldwide.com. |

**This form is to be completed by applicants for direct membership.**

DIRECT APPLICATION

**ALL sections of this application form 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.

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

#### PERSONAL DETAILS

|  |  |
| --- | --- |
| Notes: | Please complete: |
| Mr, Mrs, Miss, Ms or specify others | **Title:** |
| Full Chinese or Muslim names should be entered here | **Surname/Family Name:** |
| Any Western/Christian names should be entered here | **First Names:** |
| Please state your name in English and in BLOCK CAPITALS as you would like it to appear on your AIA certificates | **Certificate Name:** |
| Please provide your full HOME address as follows:House number or name – Street name – Town – County – Post/zip code and Country | **Home Address:****Town: County:****Post /Zip Code:****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 | **Preferred Postal Address:****Town: County:****Post/Zip Code:****Country:** |
| Please provide area codes for all telephone numbers and state if home or work by circling the correct option | **Email:****Telephone: Home/Work****Fax:** |
| Day/Month/Year | **Date of Birth: \_\_ \_\_/ \_\_ \_\_/ \_\_ \_\_ \_\_ \_\_** |
|  | **Gender: Male / Female** |
|  | **Nationality:** |
| How did you hear about AIA? | **Source of Enquiry:** |
| Have you ever been registered as a Student or Affiliate with the AIA? | **If so, please provide the following:****Previous registration number:****Year of registration:** |

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

#### EMPLOYMENT

|  |  |
| --- | --- |
| **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:** |
| **Do you hold authorisation issued by the Department for Business, Enterprise & Regulatory Reform?****Yes/No** |
|  | **Supervising Body under the Money Laundering Regulations 2007:** |
| **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:** |
| **Nature of Duties:** | **Nature of Duties:** |

#### MEMBERS IN PRACTICE and qUALITY ASSURANCE

|  |  |
| --- | --- |
| **Practising Certificate held\*: Yes / No** | **Number:** |
| **Professional Indemnity Insurance:** |
| **Name of Insurer:** |  |
| **Period Covered by Policy:** |  |

\*Please attach a copy of your practising certificate.

As An AIA Member you should be familiar with the AIA Quality Assurance Procedures and the AIA’s status as a Supervisory Authority in respect of the Money Laundering Regulations 2007. Therefore all applicants for direct membership are requested to download and read the regulations, monitoring and disciplinary procedures governing members holding an AIA Practising Certificate. These can be found in the **Members in Practice Guide**, downloadable from the AIA website: [www.aiaworldwide.com](http://www.aiaworldwide.com).

|  |  |
| --- | --- |
| Please tick 🗸 the box to confirm that you have downloaded an read the **Members in Practice Guide** |  |

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| If you wish to apply for an AIA Practising Certificate, please tick 🗸 here and Membership Services will contact you to discuss. |  |
|  |

#### ACCOUNTING EXPERIENCE

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| --- |
| **Notes:**Please list your employment history for the past five years. You are welcome to supply your *curriculum vitae* instead of completing this section. |
|  |  |  |  |
| **Employer’s Name and Address:** | **Dates** | **Position Held:** |
| (Please include nature of business) | **From:** | **To:** |  |
|  |  |  |  |
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#### PROFESSIONAL QUALIFICATIONS

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| **Notes:**Please indicate the professional body or bodies of which you are a member. A certified copy of your certificate(s) is also required. |
|  |
| **Name of Professional Body\*** | **Membership Number** | **Date of Admission** |
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\* AIA reserves the right to contact the Professional Body named to confirm membership.

#### references

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| **Notes:**Please provide details of two referees, AIA will contact them to request references. One should be a business referee, and the other should be a personal referee, who is not related to you. |

|  |
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| **BUSINESS REFERENCE** |
| **Name of Referee:** |
| **Company Name and Address:** |
| **Email:** |
| **Position Held:** |
| **Professional Qualifications and Registration Number\*:** |

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

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

#### sTATUTORY AUDIT QUALIFICATION

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| --- | --- | --- | --- | --- |
| **Are you a qualified Statutory Auditor?** | **Yes** |  | **No** |  |
|  |  |  |  |  |
| **If ‘Yes’ please give the name of your current Regulatory Supervisory Body** |  |
|  |  |
| **Is anyone in your firm undertaking statutory audits?** | **Yes** |  | **No** |  |
|  |
| **If ‘Yes’ please provide the name of the auditor and the name of their Regulatory Supervisory Body** |  |

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| **Notes:**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. If you are not a Statutory Auditor and 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.To become a statutory auditor in the UK, candidates must first meet all current criteria for Associate membership, including completion of the AIA exam papers in UK Company Law and UK Taxation. In addition, three years’ approved practical audit training is also required, two years of which must be undertaken after admission to Associate membership.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 qualification as a Statutory Auditor, as opposed to the membership only qualification. |

I am applying for:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **STATUTORY AUDITOR QUALIFICATION** |  | **MEMBERSHIP ONLY** |  |  |

Please tick (✓) one box only

#### FIT AND PROPER STATUS

8.1 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?

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| --- | --- | --- | --- |
| **Yes** |  | **No** |  |

8.2 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.

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| **Yes** |  | **No** |  |

8.3 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?

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| --- | --- | --- | --- |
| **Yes** |  | **No** |  |

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

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| --- | --- | --- | --- |
| **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.

#### DECLARATIONS

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| **Note:** Details of the routes available to direct membership can be found on the first page of this application document. |

9.1 ROUTES TO MEMBERSHIP

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| I am making an application under: | Route 1 |  | Route 2 |  | Please tick ✓ one box only |

9.2 Code of Ethics

AIA has adopted the International Federation of Accountants' (IFAC) **Code of Ethics for Professional Accountants** and all applicants are required to download and read this Code before submitting their application for membership. Please go to the AIA website at [www.aiaworldwide.com](http://www.aiaworldwide.com/) to download the Code.

|  |  |
| --- | --- |
| Please tick 🗸 to confirm that you have downloaded, read and will comply with the **AIA Code of Ethics** |  |

9.3 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.

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| Please tick 🗸 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. |  |

#### 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.

|  |  |  |
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| If you do not wish to receive third party mailings please tick 🗸 here |  |  |

#### APPLICATION, CONFIRMATIONS & UNDERTAKINGS

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| **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 68, ‘Liability to Disciplinary Action’ can be found at the end of this application form. The direct membership registration fee includes an annual subscription which must be renewed on 1 October to continue membership status and an administration fee. Once an application has been processed the administration fee will not be refunded. Please **DO NOT** send cash with your application. |

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| To the Council |
| **I hereby apply for direct 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 68 ‘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 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 donating 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:** |  |  |
|  |

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
F: +44 (0)191 493 0278
E: membership@aiaworldwide.com

direct Application

## AIA Article 68 Disciplinary Proceedings

Liability to disciplinary action

68.1 A Member, Elected Member or Student shall be liable to disciplinary action if:

1. he has been guilty of misconduct whether in the course of carrying out his professional duties or otherwise;
2. 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;
3. he (or any employee of his) has committed any breach of the Articles or the Bye-Laws (or any regulations made under them) in respect of which he is, or has agreed to be, bound;
4. 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;
5. he has failed to comply with any order requirement or advice of the Investigations, Disciplinary or Appeal Committee;
6. he has failed to co-operate with the Association in disciplinary proceedings brought against him.

68.2 A Firm shall be liable to disciplinary action if:

1. 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;
2. 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;
3. 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;
4. 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;
5. the Firm has failed to satisfy a judgment debt obtained in any jurisdiction;
6. the Firm has failed to comply with any requirement order or fine made against it by the Association;
7. the Firm has failed despite repeated requests to put into effect advice given to it by the Association.

68.3 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.

68.4 Liability to disciplinary action in accordance with paragraph 68.1, 68.2 and 68.3 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.

68.5 For the purposes of paragraph 68.1 and 68.2 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.

68.6 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.

68.7 The findings of a court in any civil proceedings whatsoever may be treated as prima facie evidence of misconduct unless the contrary is shown.

68.8 Subject to paragraph 68.9 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.

68.9 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.