



Application for accreditation as a recognised tax (financial) adviser association

Completing this application form

You will need to have read the eligibility criteria for recognised tax (financial) adviser associations on www.tpb.gov.au before completing this application.

- Please complete this form by entering details into the relevant fields or print clearly in BLOCK letters using a black or blue pen.
- Please place a ✓ in applicable boxes.
- Sign all the required sections.
- If insufficient space is provided at any item, please attach additional information.
- We will advise the entity applying for accreditation of the outcome of the application. If we decide to recognise the organisation, an updated list of recognised professional associations will be published on our website.

Organisation details

1. Organisation name

2. Business/trading name

If applicable

3. Australian company number (ACN)

If applicable

4. Australian business number (ABN)

If applicable

5. Postal address

Address

Suburb/town

State/Territory

Postcode

6. Location of principal place of business / business address

This must be a street address, for example, 123 Smith Street, Suburb/town, State, Postcode.

This cannot be a post office box number or other delivery point address.

Address

Suburb/town

State/Territory

Postcode

Business phone number (including area code)

Business mobile phone number

Email address (please print clearly)

7. Preferred delivery address

Postal

Business

8. Is the organisation a non-profit organisation?

See Item 301 of Part 3 of Schedule 1 of the *Tax Agent Services Regulations 2009* (TASR)

No

Yes

Provide details

9. How many voting members does your organisation have?

See Item 309 of Part 3 of Schedule 1 of the TASR

10. How many of the organisation's voting members are registered as tax (financial) advisers?

See Item 309 of Part 3 of Schedule 1 of the TASR

11. What corporate governance and operational procedures does the organisation have in place to ensure that:

(a) it is properly managed

(b) its internal rules are enforced?

See Item 302 of Part 3 of Schedule 1 of the TASR

Please provide relevant details (including any relevant website links and specific document references as appropriate)

12. Does your organisation have professional and ethical standards for its voting members, including terms to the effect that:

	Yes	No
(a) voting members must undertake an appropriate number of hours of continuing professional education each year, having regard to the circumstances and requirements of the members	<input type="checkbox"/>	<input type="checkbox"/>
(b) voting members must be of good fame, integrity and character	<input type="checkbox"/>	<input type="checkbox"/>
(c) each voting member is subject to rules controlling the member's conduct in the practice of their profession	<input type="checkbox"/>	<input type="checkbox"/>
(d) each voting member is subject to discipline for breaches of those rules	<input type="checkbox"/>	<input type="checkbox"/>
(e) if a voting member is permitted by the organisation to be in public practice, the voting member has professional indemnity insurance?	<input type="checkbox"/>	<input type="checkbox"/>

See Item 303 of Part 3 of Schedule 1 of the TASR

Please provide relevant details (including any relevant website links and documents as appropriate)

13. What arrangements does the organisation have in place for:

- (a) notifying clients of its members, or of members of its member bodies, about how to make complaints**
- (b) receiving, hearing and deciding those complaints**
- (c) taking disciplinary action if complaints are justified?**

See Item 304 of Part 3 of Schedule 1 of the TASR

Please provide relevant details (including any relevant website links and specific document references as appropriate)

14. What arrangements does the organisation have in place for publishing annual statistics about:

- (a) the kinds and frequency of complaints made to the organisation (except complaints under the *Tax Agent Services Act 2009* about entities registered under the *Tax Agent Services Act 2009*)**
- (b) findings made as a result of the complaints**
- (c) action taken as a result of those findings?**

See Item 305 of Part 3 of Schedule 1 of the TASR

Please provide relevant details (including any relevant website links and attach documents as appropriate)

15. Is the organisation, or its members, subject to:

(a) a law of a state or territory

(b) a rule or other instrument of a body created by or under a law of a state or territory

that sets out a requirement in terms that are the same as, or that have a similar effect to, the requirement in questions 12, 13 and 14 of this form?

See Item 308 of Part 3 of Schedule 2 of the TASR

No Yes Please provide details

16. Does the organisation have the ability to pay its debts as they fall due?

See Item 306 of Part 3 of Schedule 1 of the TASR

No Yes

Please provide evidence (a copy of the most recent director's declaration of solvency and audit report)

Director or other authorised person's declaration

Director or other authorised person's signature

(To insert digital signature, click on **Sign** at the top right hand corner of the screen)

17. Is the management of the organisation required to:

(a) be accountable to the organisation's members

(b) abide by the corporate governance and operational procedures of the organisation?

See Item 307 of Part 3 of Schedule 1 of the TASR

No Yes

Please provide relevant details (including any relevant website links and documents as appropriate)

18. Is each voting member of the organisation required to comply with at least one of the following requirements:

(a) the member has been awarded a degree or post-graduate award from:

- (i) an Australian tertiary institution; or
- (ii) an equivalent institution

in a relevant discipline (including finance, financial planning, commerce, economics, business, tax, accountancy or law)

(b) the member has been awarded a diploma or higher award from:

- (i) a registered training organisation; or
- (ii) an equivalent institution

in a relevant discipline (including finance, financial planning, commerce, economics, business, tax, accountancy or law)

(c) the member has the equivalent of six years of full-time experience in providing tax (financial) advice services in the past eight years.

See Item 310 of Part 3 of Schedule 1 of the TASR

No Yes Please provide relevant details

Documentation required to support this application

Please provide copies of the following documents:

- A copy of the organisation's registration form for members
- a copy of the organisation's Constitution
- a copy of the organisation's Code of Conduct
- a copy of the organisation's By-laws
- a copy of the most recent director's declaration of solvency and audit report
- any other relevant documents, such as Charter, Code of ethics, information in relation to complaints management, education etc.

Checklist

- All questions on the application form have been answered truthfully and correctly.
- Copies of the required documents to support this application are attached.
- A director or an authorised person has completed the declaration and signed at Question 16 on this form.

Note: If the organisation does not provide all of the required information there may be delays in processing the application.

Declaration

Before you sign this declaration, please ensure that you have answered all relevant questions and that the information provided, including any supporting documentation is true and correct.

Privacy notice

The Office of the Australian Information Commissioner (www.oaic.gov.au) is Australia's national privacy regulator. The *Privacy Act 1988* protects the privacy of individuals and sets out Australian Privacy Principles (APPs) applicable to the collection, use and storage of personal information by Australian government agencies.

The Tax Practitioners Board (TPB) is authorised by the *Tax Agent Services Act 2009* (TASA) to collect the information requested in this form for the purpose of assessing the application in accordance with the *Tax Agent Services Regulations 2009*.

Any personal information collected will be used and stored in accordance with the APPs.

If you do not provide the requested information, we may not be able to process your application.

Where we are authorised or required by the TASA to do so, some of the information collected from you may be provided to other government agencies, including the Australian Taxation Office (ATO) and the Australian Securities and Investments Commission.

We may also seek information from the ATO and other government agencies where we are authorised under the TASA to do so and it is considered relevant to the assessment of your application.

If we grant your application for recognition, your organisation's details (including your name and website address) will appear on the **List of recognised professional associations**. This list is publicly available on our website.

Further information about our privacy practices is available in our privacy policy on our website www.tpb.gov.au

For any enquiries relating to our collection, use and storage of personal information, including how to access and correct personal information or to make a privacy complaint, please contact the TPB privacy officer at TPBLegalunit@tpb.gov.au

I declare that all information given in this application, including any supporting documentation is to the best of my knowledge, information and belief, true and correct in every particular.

Full name of public officer, or other authorised officer (please print)

Signature of public officer, or other authorised officer
(To use a digital signature click on **Sign** at the top right hand corner of the screen)

Date

 / /

Where to send this application

Please email the completed application to **TPBSubmissions@tpb.gov.au** or post it to:

Tax Practitioners Board
GPO Box 1620
Sydney NSW 2001

Further information

Visit our website **www.tpb.gov.au** or phone us on **1300 362 829**.