



Notification of the appointment of a responsible individual

This form is for a firm of Recognised Auditors to notify the Registrar of the appointment of a new responsible individual (RI).

1 How to complete this application form

- The audit compliance principal (ACP) should complete section 2 on behalf of the firm.
- The **individual** to be appointed as an RI should complete section 3.
- The ACP should sign section 5.
- The individual to be appointed should sign section 6.
- A fee of £100 per responsible individual applies for a request for the **addition** of an RI to an **existing** Recognised Auditor’s register entry (see section 7).
- Where necessary, guidance is given before the question. Please read the guidance before you complete the question.
- If you need more space for an answer, please attach additional sheets.

Both the ACP (on behalf of the firm of Recognised Auditors) and the individual to be appointed as an RI must sign the form.

2 Firm details

Firm name	
Principal Office Address of RI	

3 Individual to be appointed as a responsible individual

Under the Crown Dependencies Audit Rules and Guidance (“the Rules”), a sub-contractor or a consultant cannot be a responsible individual (RI).	
Body of which the individual is a member	
Name of individual to be appointed an RI	
Member number (if known)	
Date of birth	

Is this individual a principal in the firm or an employee?	
Does this individual hold a practising certificate?	
Qualification granted by	

4 Data protection notice

Data Protection Notice

The Authority is registered with the Information Commissioner as a data controller under Isle of Man data protection legislation. The Authority collects and processes personal data to carry out its functions under relevant legislation and may share personal data with other parties where there is a legal basis for doing so. Information on how the Authority collects and processes personal data can be found in the [Privacy Policy](#) on the Authority's website: <https://www.iomfsa.im/terms-conditions/privacy-policy/>. Please call +44 (0)1624 646000 if you have any queries. **Please note: the Authority may pass the information contained in this form to the Institute of Chartered Accountants in England and Wales ('ICAEW'), the Financial Reporting Council Ltd ('FRC'), to other recognised supervisory bodies, or as required by law to enable it to perform its functions.**

5 Signature and confirmation of audit compliance principal

The Rules require that auditors are competent to carry out audit work. A firm appointing an individual as an RI must be satisfied, and confirm to the Registrar, that the individual is competent.

I confirm, on behalf of the firm, that the individual to be appointed as a responsible individual is competent to carry out audit work.

Signature of ACP	
Name of ACP	
Date	

6 Signature and confirmation of the individual to be appointed

I certify that, to the best of my knowledge and belief, the information in or provided with this application is a true and accurate statement of my circumstances.

I confirm that I am a member of a recognised accountancy body and that I am permitted to engage in public practice and I understand and agree to be bound by the Rules when auditing the accounts of market traded companies.

I authorise any persons, institutions or bodies that the Isle of Man Financial Services Authority ('the Authority') may approach to provide such information, as the Authority believes may be relevant to its continuing exercise of its functions under the Companies Law.

I also authorise the Authority to disclose to any persons, institutions or bodies appointed by the Authority to perform the oversight and monitoring functions under the Companies Law, any information that the Authority believes may be relevant to the oversight and monitoring function.

I undertake that I will, at all times, comply with the Rules.

I acknowledge that the information contained in this form may be provided to the ICAEW, FRC, other recognised supervisory bodies, or as required by law to enable the Authority to perform its functions.

Signature of individual to be appointed as RI	
Name of RI	
Date	

7 Fee for appointment of an additional responsible individual (if applicable)

This form is being submitted as part of an application to become a Recognised Auditor. <i>The £100 fee for the appointment of an additional responsible individual under regulations 9(1)(e) and 9(2A) of the Register of Recognised Auditor Regulations 2010 ('Regulations') does not apply.</i>	<input type="checkbox"/> OR
This form is being submitted as part of a request under regulation 9(1)(e) of the Regulations for the addition of a responsible individual to an existing Recognised Auditor's register entry. A cheque for £100 per responsible individual (payable to the Isle of Man Government) is enclosed. <i>The applicant will receive a receipted invoice for the additional responsible individual fee.</i>	<input type="checkbox"/>

8 Checklist

Before you return the completed application form, please indicate that you have:	
• answered every question;	<input type="checkbox"/>
• checked that sections 5 and 6 have been signed;	<input type="checkbox"/>
• if applicable, enclosed a cheque for the fee payable for the addition of a responsible individual to the existing Recognised Auditor's register entry (£100 per responsible individual);	<input type="checkbox"/>
• saved a copy of the completed form for your records; and	<input type="checkbox"/>

<p>Now return your signed and completed form with any additional sheets to:</p> <p>The Isle of Man Financial Services Authority P O Box 58 Finch Hill House Bucks Road Douglas Isle of Man IM99 1DT</p> <p>We will send you an acknowledgement as soon as we receive your notification.</p>
