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Bucks Road, Douglas, Isle of Man

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Annual Return form for recognised auditors

In accordance with the Register of Recognised Auditors Regulations 2010[[1]](#footnote-1), all Recognised Auditors must confirm to the Isle of Man Financial Services Authority (“the Authority”) annually, using this return form, that the full details held within the register remain accurate. If this is not the case, a Recognised Auditor must provide accurate information on this form.

This form must be must be completed as at 1 September and submitted to the Authority by 15 September annually.

Recognised Auditors must pay to the Authority an annual fee of £880, which must arrive by 15 September annually. Payment should be made via BACS (details on invoice issued separately), or cheques payable to “Isle of Man Government” with this form.

The form is to be completed and signed by the audit compliance principal with overall responsibility for making sure the firm complies with the Crown Dependencies’ Audit Rules and Guidance (“the Rules”).

*If there is insufficient space on the form, please attach additional sheets*

|  |  |
| --- | --- |
| Name of Recognised Auditor |  |

Annual return confirmations

The Recognised Auditor audits the following market traded companies (“MTCs”):

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of MTC** | **Name of Regulated Market(s) on which the MTC’s securities are listed** | **Principal Activity of the MTC** | Approximate Turnover of MTC |
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| --- | --- |
| **I confirm that:** | Please tick to confirm |
| The Recognised Auditor remains eligible to be entered on the register of Recognised Auditors |  |
| The address, e-mail and other contact details shown on the register for the Recognised Auditor are correct (*Please list any changes on a separate sheet*) |  |
| All Principals and Responsible Individuals listed on the register in respect of this Recognised Auditor continue to hold those roles |  |
| Neither the Recognised Auditor, its Principals, nor its Responsible Individuals been the subject of any adverse findings by any recognised accountancy body in the last year / since the previous annual return |  |
| The Recognised Auditor has no reasonable grounds for suspecting that it or any Principals or Responsible Individuals have contravened any law that would mean they are unsuitable to continue in such roles |  |
| Any new Responsible Individuals who are proposed by the Recognised Auditor are listed below and relevant application forms are attached |  |
| I have paid by BACS or enclosed a cheque (payable to “Isle of Man Government”) for the annual fee of £880 |  |
| I have paid by BACS or enclosed a cheque (payable to “Isle of Man Government”) for the fee to request the addition of a Responsible Individual of £100 (per Responsible Individual) |  |

I have attached a total of \_\_\_\_\_\_\_\_\_ additional sheets.

New Responsible Individuals proposed (forms attached)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Surname | First names | Date of birth | Office location | Principal or employee | Practising Certificate held? | Membership body name | Membership number |
|  |  |  |  |  |  |  |  |
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Certification of audit compliance principal

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| 🔒 **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**](https://www.iomfsa.im/terms-conditions/privacy-policy/) on the Authority’s website:  [**https://www.iomfsa.im/terms-conditions/privacy-policy/**](https://www.iomfsa.im/terms-conditions/privacy-policy/)  Please call **+44 (0)1624 646000** if you have any queries. |

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| --- | --- |
| I confirm that:   * the control of this firm complies with the requirements of the Companies Law; * I have taken steps to ensure that all Principals and employees involved in audit work are competent to undertake audit work; * the firm will comply with the Rules at all times; * the firm agrees to pay the costs of oversight and such fees, including any costs incurred by any person or body exercising a regulatory or supervisory role, as are necessary for the continued entry of the Recognised Auditor on the register, at the times and rates as determined from time to time; * to the best of my knowledge and belief, the information in, or provided with, this annual return is true and accurate. | Audit compliance principal  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. SD07/10 (as amended) <https://iomfsa.im/media/1403/registerofrecognisedauditorsregu.pdf> [↑](#footnote-ref-1)