



This form of ten pages when completed should be returned to the IPA Licensing Team, Insolvency Practitioners Association, Valiant House, Heneage Lane, London EC3A 5DQ

OMIP: Application for Membership & Authorisation (Licence) to act as an Insolvency Practitioner [2019]

Application for Individual Ordinary Membership [2019]

for an applicant who can show that he/she:

- Has passed the Joint Insolvency Examination (JIE) set by the Joint Insolvency Examination Board (JIEB) and been engaged in the three years immediately before applying in insolvency administration involving not less than 600 hours higher experience in insolvency administration [see [Membership Criteria](#)]; or
 - Holds a current authorisation to act as an IP from another recognised professional body or competent authority.
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Application for Authorisation (Licence) to act as an Insolvency Practitioner [2019]

for an applicant who, whether or not intending to take appointments can show that he/she:

- is fit and proper to act as an Insolvency Practitioner (IP);
 - meets acceptable requirements as to qualifications and practical training and experience; and
 - has undertaken relevant continuing professional education;
- and, in respect of an applicant intending to take appointments, can show that he/she:
- has in place security or caution, and insurance, for the proper performance of their functions.

Further details of the membership criteria are provided in the [IPA Authorisation Criteria](#).

Notes:

- If you are already an Ordinary Member or Fellow of the IPA, then you should apply for authorisation using [Form IP1](#).
- If you wish to apply for membership of the IPA but NOT authorisation to act as an Insolvency Practitioner, you should use [Form IM\(O\)1](#).
- If you are applying to renew a current IPA authorisation you should use Form IP2 (Renewal), which will be sent to you automatically prior to the expiry of your current authorisation.
- If you are applying to renew a current IPA authorisation you should use Form IP2 (Renewal).
- **Continuity of Authorisation:** If you are seeking to move your authorisation from another RPB or the Secretary of State to the IPA, you should ordinarily ensure that your application is received at the IPA by no later than six weeks before your current authorisation is due to expire to allow time for checks and any queries to be cleared, and for consideration by the Membership & Authorisation Committee: you cannot act as an IP if your authorisation lapses and you have yet to be issued with another one.
- In the event that your application is granted, you will be required to relinquish any current authorisation issued by another RPB or the Secretary of State from the date that your IPA authorisation is effective.

Part 3 – Eligibility (Examination/Qualifications/Authorisation): if you wish to apply for a Personal only licence then you will need to have passed the Personal only paper of the Joint Insolvency Examination; if you are applying for a Corporate only licence, then you must have passed the Liquidations, and Administrations, Company Voluntary Arrangements (CVAs) & Receiverships papers. For a full insolvency licence, then all three papers must be sat and passed.

○ or having acquired non-Great Britain professional or vocational qualifications; and/or, if applicable, a copy of your current authorisation.

○ **Part 3 – Eligibility (Insurance and Bonding):** An appointment taker IP is required by the IPA Professional Indemnity Insurance (PII) Regulations to have PII cover; and by the Insolvency Practitioners Regulations to have a general penalty (enabling) bond for £250,000, together with specific penalty bonds in relation to individual insolvencies to which he/she is appointed.

Please provide with your application a copy of your current general penalty bond or a copy of a quotation document evidencing that you have applied for such a bond and confirmation that such a bond will be issued upon successful completion of this application.

On the issue of an appointment taker authorisation, the original enabling bond will be required to be submitted to, and is retained by, the IPA.

○ **Part 4 - Experience: Qualifications:** An applicant for authorisation is required to have passed the Joint Insolvency Examination (JIE) set by the JIEB; or in the case of an eligible applicant from another member state of the European Economic Area, that he/she complies with the requirements of the EC Qualifications Regulations.

If the applicant passed the JIE more than ten years before his/her application, he/she may be required to re-sit it unless he/she can show that in the intervening period he/she has maintained his/her knowledge and understanding of personal insolvency law, procedures and practice at a level and to the extent required by the JIEB.

An applicant for an authorisation, whether based on having been previously authorised or on having passed the JIE or having satisfied the EC Qualifications Regulations, is required to show his/her ability to carry out unsupervised the functions and duties of an IP based on having been engaged during the three years immediately before applying in work relating to the administration of estates in respect of which an insolvency practitioner has been appointed involving not less than 600 hours higher experience in insolvency administration. Generally, an applicant will be expected to have been engaged in insolvency administration for not less than 100 hours in each of the three years before applying.

The Membership & Authorisation Committee may at its discretion consider whether and to what extent Advisory Work [see Definition at IPA Membership Criteria Appendix I] at an equivalent level may be taken into account in its assessment of the adequacy of the applicant's overall experience; and it may at its discretion accept engagement in insolvency administration of less than 100 hours in any of the three years before applying.

An applicant must have a good command of the English language, both spoken and written; and the Membership & Authorisation Committee may ask to be satisfied as to his/her proficiency in English.

If you do not hold and have not held an IP authorisation, then ignore Part 4(a) and complete Part 4(b).

If you rely on work experience outside the Great Britain, you may be asked to demonstrate that you have a good command of the English language.

Please provide in relation to Part 4(b) certification from one or more of the IPs for whom you have worked of your experience and particularly of your higher insolvency work experience: the certification may be made on the application itself at Part 4(b) or may be provided separately.

Please see our sponsor guidance letter attached to this form.

- **Part 5 - Continuing Professional Education (CPE):** The IPA requirement in relation to CPE are set out in its CPE Guidance: essentially, it requires a minimum 25 hours structured CPE during each year, which may include attending or speaking at courses, conferences, seminars and lectures which may have been organised by R3, other commercial course and conference providers, in-house or by other professionals and their firms. You should have available to produce when your application is being considered, or subsequently, details and evidence of courses and conferences attended and of other CPE undertaken.
- **Part 6 – Fitness and Probity:** The IPA may make such further and other enquiries of third parties as it considers appropriate as to your fitness and probity to be an IP authorised by it.
- **Part 7 – Practice:** You should **immediately** notify the IPA of any changes in your practice before or after your authorisation is issued, including changes in where you work; changes in where your cases are administered; and changes in your nominated successor IP (or ‘alternate’).

OMIP: Application for Membership & Authorisation (Licence) to act as an Insolvency Practitioner

Please complete in typescript or black/blue ink using block capitals for easier reading

Part 1 – Your Personal Details

Title, First name and Surname/Family name	
Your membership number (if a member)	
Nationality and place of birth	
Date of Birth (dd/mm/yyyy)	
Home Name/Number and Street	
City/Town, County and Postcode	
Country (if outside UK)	
Telephone Area Code and Number	
Personal email	
If you are a member of another professional body (or bodies), please provide:	
Name of the body	
Your designatory letters	
Date of your admission	
Your membership number(s)	

Part 2 – Your Employment Details

Name of Firm/Partnership/Company for which you work	
How long you have worked here	
Your current job title/position	
Nature of Firm/Partnership/Company business (including details of any non-insolvency services provided)	
Building Name/Number and Street (office where you principally work)	
City/Town, County and Postcode	
Country (if outside UK)	
Telephone Number (Main Switchboard)	
Firm/Partnership/Company Website	www.
Business email	

In all cases, your employment address will be published in our list of members.

We e-mail for the majority of our communications with you. Unless you elect otherwise, email and correspondence will be sent to your employment address.

Tick here to use personal address details as an alternative:

State the date from which you would wish your authorisation to be effective	
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Tick here if you intend to take appointments:

State the date from which you would wish your authorisation to be effective	
Tick here if you wish to apply for a full licence to take appointments	

Tick here if you wish to take a Personal only Insolvency licence	
Tick here if you wish to take a Corporate only insolvency licence	

Part 3 – Your Eligibility

Have you passed the JIE Examination? If you have passed JIE then please supply documentation evidence with this form	Yes/No	Year passed:
<u>And/Or</u> Have you acquired or been awarded in a country or territory outside the UK professional or vocational qualifications which indicate that you have the knowledge and competence that is attested by a JIE pass	Yes/No	
	Details of qualifications:	
<u>And/Or</u> Are you or have you at any time been authorised as an IP by another body/competent authority?	Yes/No	Authorised by:
	Current/last Authorisation expires/expired on:	
	Authorisation first granted	

Part 4 - Your Experience

(a) If you hold or held an IP authorisation and have taken appointments, set out a summary of the cases of which you have been the office holder during the three years immediately preceding your application for authorisation:

Period	Cases at start	New cases	Cases closed	Cases at end	Hours of higher experience
Period 3*					
Period 2					
Period 1					

** Period 3 is the 12 months preceding your application. You will be asked to supply a schedule of your open cases in support of this information in the event your application is approved.*

Have you been the subject of any monitoring or any other visit by the body/competent authority by which you are currently, or have been, authorised?	Yes/No
Date(s) of visit(s): <i>You should attach a copy of the most recent visit report</i>	

(b) If you wish to rely on experience other than as an office holder and whether or not you intend to take appointments, set out details of your insolvency experience during the three years immediately preceding your application for authorisation by the IPA, identifying the work which constituted higher insolvency work experience.

Period	Firm for which you worked	IP(s) to whom you reported	Your job title/position	Insolvency hours you worked	Of which higher experience
Period 3					
Period 2					
Period 1					

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Part 5 – Your Sponsors

Please provide details of your two sponsors who should be
 (1) an IP (whether or not a member of or authorised by the IPA); and
 (2) another IP or a member of a professional body or a person of standing
 who are each able to vouch for your good character and suitability to become an Individual Ordinary Member of the IPA:

Name of Sponsor (1)		Position
Firm/Company		
Address		
Tel	E-mail	
How long has your sponsor known you?		
In what capacity has your sponsor known you? [IP, employer, personal, etc]		
Authorising body/professional membership body/person of standing		

Name of Sponsor (2)		Position
Firm/Company		
Address		
Tel	E-mail	
How long has your sponsor known you?		
In what capacity has your sponsor known you? [IP, employer, personal, etc]		
Authorising body/professional membership body/person of standing		

Part 6 - Your Continuing Professional Education (CPE)

Provide details of 25 hours of structured CPE undertaken in the twelve months immediately preceding your application for authorisation				
CPE Provider	Topics covered	Date undertaken	Internal or external	Hours accredited

Part 7 - Whether you are a Fit and Proper person

State, and provide full details in an accompanying letter where you answer “Yes”

(a) Have you previously applied for an authorisation to act as an IP to another body/competent authority which was <ul style="list-style-type: none"> • Granted, and when? • Refused, when and why? 	
(b) Have you had an authorisation: <ul style="list-style-type: none"> • Restricted? • Lapsed? • Removed? 	
(c) Have you been refused admission to, or been removed from, any professional body or similar association; or is there any action pending against you?	
(d) Have you been the subject of any adverse findings by the IPA or another professional body or any government, statutory or regulatory authority (including The Insolvency Service) in relation to any matters, whether by way of financial penalty or other disciplinary action (including reprimands, warnings and undertakings and suspension/removal from Official Receiver rotas or lists of interim trustees); or are there any matters (including complaints) currently being considered by any of them?	
(e) Have you been or are you the subject of a bankruptcy order, sequestration order, voluntary arrangement, deed, scheme, composition or other form of agreement or debt management plan with your creditors; or are there any proceedings pending?	
(f) Have been or are you a director of, or involved in the management of, a company which has gone into liquidation, administration or administrative receivership or entered into a company voluntary arrangement, scheme, composition or other form of agreement with its creditors; or which has been or is the subject of a statutory or regulatory investigation?	
(g) Have you been the proprietor or partner in any business or been a director of or involved in the management of, any other company which ceased trading leaving creditors unpaid?	
(h) Have you had any judgments entered against you; and are there any still outstanding?	
(i) Have you been the subject of proceedings alleging negligence, misconduct or other liability in relation to an insolvency or other professional matter; or are there any proceedings pending?	
(j) Have you been convicted of any criminal offence, other than a minor motoring offence not resulting in disqualification; or been the subject of a caution in relation to violent conduct; or are there any proceedings pending?	
(k) Have you been or are you subject to a disqualification order or undertaking in relation to a company or office or subject to a bankruptcy restriction order or undertaking; or are there any proceedings pending?	
(l) Have you been removed or dismissed from any form of employment or engagement on grounds of misconduct, incompetence or unfitness, or from any fiduciary office or position of trust (whether or not remunerated) including as an insolvency office holder; or is there any action pending?	
(m) Have you been or are you a patient within the meaning of Part VII of the Mental Health Act 1983 or of section 125(1) of the Mental Health (Scotland) Act 1984	
(n) The Association requires a DBS to be sent in for appointment takers, the issue of your licence is conditional of this being received within 3 months of your application being sent.	

Note: In addition to the matters mentioned here, the IPA may require information and explanations in and about any relationship and dealings you might have had or have with any individual, firm, partnership or company which has been or is the subject of complaint to or investigation by it (the IPA), another professional body or any government, statutory or regulatory authority (including The Insolvency Service).

Part 8- Your Practice information is required if you intend to take appointments

Please state in relation to the firm/partnership /company in which you will be working:

Provide details of the professional indemnity insurance (PII) held by you or by the Firm/ Partnership/Company in which you work	Insurer:		
	Policy number		
	Amount of cover £	Renewal date	
Provide details of the security or caution you currently have	Surety:	Renewal date	
Address(es) where your cases are administered if different from or in addition to that shown in Part 2.	_____		
Address where your records required by the legislation are maintained if different from that shown in Part 2.	_____		
If you wish to be covered under the IPA's group Consumer Credit Licence, please complete separate form.	Yes – please supply form / No		
If there are other IPs in the Practice, it would help us to plan inspections if you would circle the bodies/ competent authorities by which they are authorised	ACCA LS	ICAI LSS	ICAEW BIS/DETINI
	ICAS		

Please complete continuity details for EITHER Sole Practitioner OR Partnership/Company below

Sole Practitioner Firm	Name: _____	
Provide details of the appointment-taker IP who has agreed to provide continuity in relation to the administration of your cases in the event of your incapacity or death (your 'alternate')	Firm: _____	
	Authorising body/ competent authority: _____	
Partnership or Company	Are arrangements for continuity set out in a partnership/company agreement?	<input type="checkbox"/> Yes/ <input type="checkbox"/> No
Provide details of any appointment-taker IP nominated to provide continuity in relation to the administration of your cases in the event of your incapacity or death	Name: _____	
	Authorising body/ competent authority: _____	

Part 8 – Supervision for Anti-Money Laundering purposes pursuant to The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 ('AML17')

The IPA supervises all individual IPs that it licences and will supervise an IP's firm where the firm provides only insolvency services and all or a majority of the appointment-taking IPs are licensed by the IPA.

Where the IPA supervises a firm that one IP owns and operates, the IP must provide evidence of a criminality check being undertaken at: www.gov.uk/request-copy-criminal-record.

Where there are Beneficial Owners, Officers and Managers (see [definitions](#)) who are not the IP, in a firm that is supervised by the IPA, the IP (or nominated officer) must provide a list of those individuals, including contact information, position in the firm and shareholding if applicable and certify that a criminality check has been undertaken for each person. Further, the IP (or nominated officer) must certify that there have been no convictions in relation to relevant criminal offences (AML17 Schedule 3).

Please confirm whether your firm meets the above criteria for supervision by the IPA for Anti-Money Laundering purposes	Yes/No
Please provide the name and contact details for the nominated officer for Anti-Money Laundering purposes at your firm	

Part 9- Declaration – PLEASE READ CAREFULLY

(1) I hereby apply for Membership and Authorisation to act as an Insolvency Practitioner, for which I believe I am a fit and proper person. I acknowledge that I am bound by the IPA Articles, Rules, Regulations and Guidance in relation to my authorisation.

(2) The information provided by me in this application is true, and I have disclosed here all and every fact and circumstance relevant to consideration of my application. I understand that any false, inaccurate or misleading information provided by me may lead to a refusal of my application, or revocation of my authorisation if approved, as well as disciplinary action in relation to, and suspension or withdrawal of, my membership of the IPA.

(3) I will immediately notify the IPA of any material change in the information provided by me here, whether it arises before or after the issue of an authorisation.

(4) I understand that the IPA may seek information relevant to a proper consideration of my application from my current and past employers and from other third parties; and I hereby consent to the disclosure by my present and past employers and third parties to the IPA.

(5) I understand that the IPA may pass all and any information about me and my practice as it considers appropriate to The Insolvency Services or to other Recognised Professional Bodies under the published Memoranda of Understanding between The Insolvency Services and the RPBs, and may receive information about me and my practice from them. I further understand that in the event of removal of my authorisation or my incapacity or death, the IPA will pass such relevant information as it may have about the cases to which I was appointed to the insolvency practitioner(s) appointed to succeed me as office holder.

(6) I undertake:

- Not to practice as an IP without Professional Indemnity Insurance at an appropriate level
- Not to act as an IP unless there is in force security or caution as required and prescribed by legislation, generally and in relation to every case to which I am appointed
- To promptly send to the IPA my original enabling bond and renewal slips evidencing that it remains in force, together with copies of the monthly cover schedules submitted to my bond providers.

(7) I attach the following (delete as appropriate):

- A copy of documentation relating to my Joint Insolvency Examination pass; and/or
- A copy of documentation relating to my non-UK qualifications; and/or
- A copy of my current IP authorisation.
- A copy of my general penalty bond; or a copy of a quotation document evidencing that I have applied for a general penalty bond.
- A certificate from the IP(s) for whom I have worked of my experience (where part 4(b) is completed);
- A list of all Beneficial Owners, Officers and Managers for my firm where the IPA would be the supervisor for AML purposes (AML17), with confirmation that criminality checks have been undertaken and details of any relevant criminal offences, certified by me or the nominated officer in my firm.
- A copy of my criminality check where I am a sole practitioner (AML17).

If you have been previously authorised with appointments by another body/ competent authority then please include a copy of your latest inspection report and outcome letter following the consideration of that report. Failure to do so will lead to your application being delayed.

Signature:	Date:

Sponsor Guide Letter

Sponsor Guide Letter

To the President of the IPA

Re: Applicant's name

I am writing to confirm the applicant's good character and suitability to become an Ordinary Member of the IPA. I can confirm the applicant meets the experience requirements to hold an insolvency licence, as defined below – i.e. that (s)/he has achieved at least 600 hours of higher level insolvency experience in the last three years.

My details are as follows:

Name		Telephone	
Job Title		Email	
Company		Position	
Address		Authorised by	
Qualifications/ Honours/ Decorations		Capacity in which I know the applicant, and for how long	

Higher experience in insolvency administration is defined as engagement in work relating to the administration of estates in respect of which an IP has been appointed where the works involves the management and supervision of cases on behalf of the IP or regulatory work at an equivalent level.

Yours sincerely