



## ACCOUNTANTS ADDENDUM

Attaching to and forming part of the application completed for and on behalf of:

Applicant: \_\_\_\_\_

Date: \_\_\_\_\_

1. Please detail the approximate percentage of your fee income derived from the following fields of work:

Type of Work		Type of Work	
i) Auditing (Complete Question 2)	%	vi) Taxation	%
ii) Accounts preparation or bookkeeping	%	vii) Insurance agency (Complete Question 5)	%
iii) Receiverships, liquidations or bankruptcies	%	viii) Company directorships/secretarial positions	%
iv) Investment advice or investment management (Complete Questions 3 & 4)	%	ix) Others - please specify	%
v) Superannuation fund management/trusteeship (Complete Questions 3 & 4)	%	<b>Total</b>	<b>100%</b>

2. Please provide the following detail in respect of AUDITING work.

(a) Do you or have you in the past performed auditing work for any public company or financial institution? Yes  No

(b) Do you still or intend in the future to perform this work? Yes  No

If Yes to (a) or (b), please provide the following details:

(ii) Gross fees from auditing during the last 12 months

Australia

Overseas

\$A \_\_\_\_\_

\$A \_\_\_\_\_

(ii) Estimated gross fees from auditing for the next 12 months

\$A \_\_\_\_\_

\$A \_\_\_\_\_

(iii) Detail Applicants four largest Audit clients during the last five (5) years

Name	Occupation	Applicants Fees

3. Complete if applicable (refer Question 1 above).

- (a) Are investments or funds invested or managed for the benefit of:
- (i) the Practice/Partners/Principals/Directors? Yes  No
  - (ii) employees? Yes  No
  - (iii) clients? Yes  No
- (b) What approximate amount was invested or managed by the Practice in the last 12 months for:
- (i) the Practice/Partners/Principals/Directors \$A \_\_\_\_\_
  - (ii) employees \$A \_\_\_\_\_
  - (iii) clients \$A \_\_\_\_\_
- (c) (i) Do you undertake an investment risk profile analysis for each client prior to investing or managing funds on their behalf? Yes  No
- ii) Do you always require written instructions, or retain a written record of instructions, for all transactions relating to the investment or management of funds? Yes  No

4. Complete if applicable (refer Question 1 above)

- (a) Are you licensed under the Corporations Law to carry on the business of:
- i) Securities dealer? Yes  No  Date Licensed  
\_\_\_\_/\_\_\_\_/\_\_\_\_
  - ii) Investment Advisor? Yes  No  \_\_\_\_/\_\_\_\_/\_\_\_\_
- (b) Have you ever had a licence referred to in Question 4(a) above refused, revoked or varied? Yes  No
- If Yes, please supply details.


- (c) Have you ever been subject to any disciplinary action by the Australian Securities & Investment Commission or any of its predecessors or have you ever been the subject of an investigation or inspection by any such organisation? Yes  No
- If Yes, please supply details.


- (d) Does the Practice prepare independent experts' reports in relation to securities transactions? Yes  No
- If Yes, please supply details.


5. Complete if applicable (refer Question 1 above).

- (a) State the number of insurance agencies with binding authorities:
- (b) State the number of insurance agencies without binding authorities:
- (c) State the percentage of total premium written for the following classes of insurance:


i) Life / Superannuation	%	iv) Motor	%
ii) Liability	%	v) Marine	%
iii) Property	%	vi) Others (please specify)	%

6. Please provide the approximate percentage of your activities (based on fee income) applicable to each State, Territory and Overseas.

NSW	VIC	QLD	SA	WA	TAS	NT	ACT	O/S
%	%	%	%	%	%	%	%	%

**DECLARATION**

- I/We have made due enquiry of the Applicant and its principals, partners, directors and employees concerning the questions asked within this proposal and have authority to sign this proposal on their behalf;
- I/We have read and understood the Important Information of this Proposal;
- The statements and particulars in this proposal are true and correct;
- This proposal along with any other information supplied by me/us shall form the basis of any policy entered into;
- I/We understand that up until the policy is entered into, we must notify any change in the matters disclosed in this proposal; and
- I/We will notify any material alteration to the matters disclosed in this proposal occurring after completion of the proposal.

Name of Practice:	
Signed: Partner, Principal or Director:	Date:    /    /