APPLICATION FOR FINANCIAL PLANNING SPECIALISATION (FPS)

CPA AUSTRALIA FINANCIAL PLANNING SPECIALISATION APPLICATION 2014

WHAT IS THIS APPLICATION FOR?

This application form is to apply for the CPA Australia Financial Planning Specialisation – CPA (FPS).

The CPA Australia Financial Planning Specialisation specifically recognises members who specialise in financial planning and have a high level of experience and knowledge in the financial services industry.

You must be a CPA or FCPA (Fellow) member of CPA Australia and a licensed financial planner to be eligible to apply for the Financial Planning Specialisation.

For more information about the specialisation, please refer to the Financial Planning Specialisation Handbook available at **cpaaustralia.com.au/fps.**

PLEASE READ THESE INSTRUCTIONS CAREFULLY

You can enter your details directly into the application form as it appears on your computer and then send us a printed and signed copy.

We recommend that you retain a copy for your own records.

You will need to send us 'certified true copies' of your supporting documents. Do not send original documents. They will not be returned.

A 'certified true copy' is a copy of an original document that is verified as being a true copy. An authorised person must certify the copy after seeing the original document.

Throughout this document 'licence' refers to either an Australian Financial Services (AFS) licence or representative / authorised representative of an AFS licence.

IF YOU NEED HELP OR MORE INFORMATION

You will find more information about the CPA Australia Financial Planning Specialisation at **cpaaustralia.com.au/fps**

Or please contact **finplan@cpaaustralia.com.au**

SEND US YOUR APPLICATION

There is an application fee for your assessment.

The application fee is non-refundable. Please refer to page 6 for further information.

Incomplete applications cannot be assessed and this will delay the processing of your application.

Please turn the page to begin your application

At the end of the form we will remind you what to send us and where to send your documents.

(A) ABOUT YOU

CPA Australia membership number:			
Title		Given names	
Family name			
Preferred name			
Date of birth			

HAVE YOU CHANGED YOUR NAME?

If your name is different on any of your transcripts or identity documents, we need a **certified true copy** of a proof of name change document. You can prove your name has changed by such documents as a marriage certificate or government issued change of name document. Please ensure that these are **certified true copies** of the original documents.

YOUR HOME CONTACT DETAILS

Address					
Suburb/area		Postcode/ZIP		City	
State/province		Country			
Home phone *					
Mobile / Cell phone*					
	*Please include area code				

YOUR BUSINESS CONTACT DETAILS

Business name					
Position title					
Business address					
Suburb/area		Postcode/ZIP		City	
State/province		Country			
Business hours phone*		Email			
Business fax*					
Business website					
	*Please include area code				

Do you hold a Public Practice Certificate?

☐ No ☐ Yes

YOUR COMMUNICATION PREFERENCES

Your email address (mandatory)	

What is your preferred postal address?

☐ Business ☐ Home (please choose one only)

YOUR LICENCE DETAILS

PLEASE NOTE: You must be licensed to be eligible for the Financial Planning Specialisation.

Do you hold an Australian Financial Services licence?

☐ No ☐ Yes (If Yes) Name of AFS licence

AFSL Number	
	Please provide a **certified true copy** of your AFS licence.

Are you a representative / authorised representative of an AFS licence?

☐ No ☐ Yes – Authorised representative number

Authorised Representative Member	
Name of AFS licence	
AFS licence	
	Please provide a **certified true copy** of licence details.

(B) YOUR EDUCATION

This section requires you to list the study that you have completed that will satisfy the education requirements for the Financial Planning Specialisation.

RECOGNISED FINANCIAL PLANNING QUALIFICATION

QUALIFICATION A

Please tick which qualification you have completed

☐ Degree – major in financial planning
☐ Graduate Certificate in Financial Planning
☐ Graduate Diploma of Financial Planning
☐ Masters of Financial Planning
☐ Bachelor of Financial Advising
☐ Bachelor of Commerce / Business (Financial Planning)
☐ FPA's CFP® Certification Program (Units 1-4)*
☐ FPA's CFP® Certification Program (Units 1-5)*
☐ Advanced Dipolma of Financial Planning
☐ Advanced Dipolma of Financial Services (Financial Planning)

Name of qualification			
University or Institute			
Campus (if applicable)		Country	
When did you complete this qualification?			

Please provide a **certified true copy** of official academic transcripts showing the grades or results from the institution where you completed the original study.

If you received any exemptions, credits or advanced standing in this qualification, please include a **certified true copy** of the official academic transcript showing the grades or results from the institution where the prior study took place.

If you have completed your qualification, please provide a **certified true copy** of the official academic award or letter of completion.

QUALIFICATION B

(Applicable only if you have completed more than one recognised qualification)

☐ Degree – major in financial planning
☐ Graduate Certificate in Financial Planning
☐ Graduate Diploma of Financial Planning
☐ Masters of Financial Planning
☐ Bachelor of Financial Advising
☐ Bachelor of Commerce / Business (Financial Planning)
☐ FPA's CFP® Certification Program (Units 1-4)*
☐ FPA's CFP® Certification Program (Units 1-5)*
☐ Advanced Dipolma of Financial Planning
☐ Advanced Dipolma of Financial Services (Financial Planning)

* These are the only programs offered by the FPA which meet the recognised financial planning qualifications for the CPA Australia Financial Planning Specialisation.

Name of qualification*		
University or Institute		
Campus (if applicable)		Country
When did you complete this qualification?		

Please provide a **certified true copy** of official academic transcripts showing the grades or results from the institution where you completed the original study.

If you received any exemptions, credits or advanced standing in this qualification, please include a **certified true copy** of the official academic transcript showing the grades or results from the institution where the prior study took place.

If you have completed your qualification, please provide a **certified true copy** of the official academic award or letter of completion.

RECOGNISED TAXATION STUDIES

Please tick which course or qualification you have completed:

COURSE OR QUALIFICATION 1:

- ☐ Advanced Taxation segment (CPA Program)
- ☐ Taxation segment (CPA Program)
- ☐ Advanced taxation studies with another professional body
- ☐ Appropriate undergraduate studies in tax
- ☐ Appropriate postgraduate studies in tax
- ☐ Registered Tax Agent in Australia (RTA)

Name of tax unit completed*	
University or Institute	
When did you complete this training?	
	*If you have completed your taxation studies with CPA Australia, you are not required to provide evidence of completing this study. If you are a Registered Tax Agent, please provide a certified true copy of your current registration with the Tax Practitioners Board.

COURSE OR QUALIFICATION 2:

(Applicable only if you have completed more than one course or qualification in taxation)

- ☐ Advanced Taxation segment (CPA Program)
- ☐ Taxation segment (CPA Program)
- ☐ Advanced taxation studies with another professional body
- ☐ Appropriate undergraduate studies in tax
- ☐ Appropriate postgraduate studies in tax
- ☐ Registered Tax Agent in Australia (RTA)

Name of tax unit completed*	
University or Institute	
When did you complete this training?	
	*If you have completed your taxation studies with CPA Australia, you are not required to provide evidence of completing this study. If you are a Registered Tax Agent, please provide a certified true copy of your current registration with the Tax Practitioners Board.

Please provide a **certified true copy** of official academic transcripts showing the grades or results from the institution where you completed the original study.

If you received any exemptions, credits or advanced standing in this qualification, please include a **certified true copy** of the official academic transcript showing the grades or results from the institution where the prior study took place.

If you have completed your qualification, please provide a **certified true copy** of the official academic award or letter of completion.

(C) YOUR EXPERIENCE

This section requires you to declare that you have met the relevant experience requirements for the Financial Planning Specialisation.

DECLARATION

I confirm that I have a minimum of three years experience in financial planning in the immediate past five years, with specific experience in at least the first four of the following areas:

- personal financial planning process
- personal income tax planning
- risk management planning
- investment planning
- retirement planning
- estate planning

Signature* Date __ __ / __ __ / __ __ __ __

*Please print and sign. We do not accept digital signatures.

TESTIMONIAL DECLARATIONS

You must provide two signed testimonials to confirm you meet the experience requirements for the Financial Planning Specialisation.

The testimonials must be specific to the core areas listed above – a general testimonial letter will not be accepted.

Please refer to page 8 of this application form for further information on the detailed testimonials, including a sample testimonial.

☐ I have attached two detailed testimonials confirming the length of my experience and the areas in which I have gained my experience specific to the core areas listed above

TESTIMONIAL 1 HAS BEEN COMPLETED BY (*PLEASE TICK ONE*):

☐ my current AFS licence holder / Responsible Manager of the AFS licence
☐ my current employer
☐ my former employer / AFS licensee
☐ CPA or FCPA (Fellow) but this person cannot be an Associate member of CPA Australia
☐ full member of a recognised International Federation of Accountants (IFAC) professional body listed on ifac.org/about/member-bodies

TESTIMONIAL 2 HAS BEEN COMPLETED BY *(PLEASE TICK ONE):*

☐ my current AFS licence holder / Responsible Manager of the AFS licence
☐ my current employer
☐ my former employer / AFS licensee
☐ CPA or FCPA (Fellow) but this person cannot be an Associate member of CPA Australia
☐ full member of a recognised International Federation of Accountants (IFAC) professional body listed on ifac.org/about/member-bodies

(D) HOW TO PAY

HOW MUCH IS THE APPLICATION FEE?

There is a non-refundable fee of AUD$160 to assess your application. You can pay this fee by credit card or cheque.

If your home address is in **Hong Kong, New Zealand, Malaysia, Singapore** or the **United Kingdom** – local currency equivalents apply. To find your applicable fee in your local currency, please go to: **cpaaustralia.com.au/fees***

If your home address is in **any other location**, fees are to be paid in Australian dollars (exclusive of GST). To find your applicable fee, please go to **cpaaustralia.com.au/fees***

*all prices are subject to change.

IF YOU ARE PAYING BY CREDIT CARD

Payment method	☐ Credit card ☐ Cheque: Make payable to 'CPA Australia Ltd'.		
Card Type	☐ CPA Australia American Express ☐ AMEX ☐ Visa ☐ MasterCard ☐ Diners		
Name on card		Total amount	
Application fee		Membership fee	
Card number		Expiry date	/ /
	I authorise CPA Australia to debit my credit card for this total amount.		
Cardholder's signature			
Date	/ /		
	Please print and sign. We do not accept digital signatures.		

IF YOU ARE PAYING BY CHEQUE

Your cheque should be made payable to "**CPA Australia Ltd**".

You will be liable for any fees incurred from a dishonoured cheque.

☐ Tick this box if paying by cheque and staple your cheque to this page.

(E) FIND A FINANCIAL PLANNER REFERRAL SERVICE

Please note that you must agree to the following terms in order to be listed on the referral service website facility.

☐ I understand that by completing this section I wish to receive business referrals from CPA Australia and be included on the Find a Financial Planner website facility on the CPA Australia website.

☐ I agree to ensure my details, including licence and business contact details (which will be recorded under my 'Preferred address' details) are current and correct with CPA Australia while I am listed on the Find a Financial Planner referral service. I will promptly notify CPA Australia of any changes to these details.

☐ I understand that if at any time I cease to be licensed that I am no longer eligible to be listed on the Find a Financial Planner referral service and must contact CPA Australia to remove my listing.

The referral service currently searches using the postcode for your 'Preferred address'.

Please note that the details that you complete below will be recorded as your 'Preferred address' and will be made public on the referral service. All correspondence from CPA Australia will also be sent to this address.

Business name					
Preferred address					
Suburb/city		State		Postcode	
Business phone (please include area code)					
Business website address (if applicable)					

(F) YOUR ACCEPTANCE

- I wish to apply for the Financial Planning Specialisation with CPA Australia.
- I declare that the information provided in this application is true and correct.
- I have read and agree to the Privacy Statement.

By signing below and submitting this form, I declare that:

☐ I wish to apply for the Financial Planning Specialisation with CPA Australia;

☐ The information provided in this application is true and correct;

☐ I have read the Privacy Policy at cpaaustralia.com.au/privacypolicy and consent to my personal information being collected, held, used and disclosed in the manner and for the purposes stated there.

Signature

Date / /

Please print and sign. We do not accept digital signatures.

(G) WHAT TO SEND US

WHAT TO SEND

Please send us your:

☐ application ☐ payment details or application fee ☐ supporting documents (see below)

Attach your supporting documents
You will need to send us the following documents:

☐ certified true copies of all recognised financial planning qualifications listed in this application

☐ certified true copies of all recognised taxation studies listed in this application / RTA status

☐ two detailed testimonials confirming your experience in financial planning; and a

☐ certified true copy of your AFS licence / authorised representative status.

Please note! Please do not staple this form or any documents together. However, you can:
- use a paper clip to hold your pages together
- staple any cheques or money orders for the application fee to page 6

Please do not attach any 'sticky notes' to your application.

TESTIMONIALS

You are required to submit two detailed testimonials confirming you meet the experience requirements for the CPA Australia Financial Planning Specialisation.

The following is an example of a detailed testimonial.

To whom it may concern

This is to confirm that John Doe is currently an Authorised Representative of ABC Financial Planning Limited and has been licensed with ABC since 1 January 2009.

As an Authorised Representative of ABC John provides his clients with personal financial planning advice which includes advice on:
- risk management and insurance planning
- investment planning, including advice on securities and managed investments
- retirement planning; and
- taxation planning as related to the financial planning advice he provides.

This requires John to:
- establish financial planning goals with his clients
- conduct risk profiles
- research and develop strategies around these goals; and
- meet all compliance obligations, such as documenting his advice in Statements of Advice.

John also implements the advice he provides to his clients and reviews his client's needs and investments over time to ensure the client's goals are still being met.

If you require any further information, please do not hesitate to contact me on 9876 5432.

Janet Bloggs

Responsible Manager

ABC Financial Planning Limited

WHERE TO SEND YOUR APPLICATION

Your application and documents can be mailed to:

CPA Australia
Member Advisory and Information Services
GPO Box 2820
Melbourne VIC 3001
AUSTRALIA

Applications cannot be faxed or emailed.

Telephone: 1300 73 73 73 (in Australia) or + 61 3 9606 9677 (outside Australia)

WHAT HAPPENS NEXT

1. **We will send you an acknowledgement email**
   Our email will let you know we have received your application.
2. **We will let you know if your application cannot be processed**
   This may occur if:
   - your form is incomplete or unsigned
   - certified true copies of relevant documents have not been provided
3. **We will let you know the outcome of your application**
   In general, you should receive our response by email within 10 working days.

Please check that you have provided the correct clearly written email address to contact you.

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