

<i>Official Use Only</i>
Number: _____
Date Approved/Denied: _____
Approved/Denied By: _____

### Certified Public Accountancy Firm

#### APPLICANT INFORMATION

**Business Legal Name** \_\_\_\_\_  
*\*Note: If you are a Sole Proprietor, this is your full legal name.*

**DBA (if applicable):** \_\_\_\_\_

**Mailing Address:** \_\_\_\_\_  
*Street Address (including Apt/Unit/Ste #) and/or PO Box*

\_\_\_\_\_  
*City State ZIP Code*

**Phone:** \_\_\_\_\_ **Email:** \_\_\_\_\_

**Local Contact for Licensing Purposes:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Email:** \_\_\_\_\_

#### AFFIDAVIT AND RELEASE

1. I certify that I am qualified in all respects for the license for which I am applying in this application.
2. I certify that to the best of my knowledge, the information contained in the application and all supporting document(s) are true and correct, discloses all material facts regarding the applicant, and that I will update or correct the application as necessary, prior to any action on my application.
3. I authorize all persons, organizations, governmental agencies, or any others not specifically listed, which are set forth directly or by reference in this application, to release to the Division of Occupational and Professional Licensing, State of Utah, any files, records, or information of any type reasonably required for the Division to properly evaluate my qualifications for licensure/certification/registration by the State of Utah.
4. I understand that it is the continuing responsibility of applicants and licensees to read, understand, and apply the requirements contained in all statutes and rules pertaining to the occupation or profession for which I am applying, and that failure to do so may result in civil, administrative, or criminal sanctions.
5. I certify that I do not currently pose a direct threat to myself, to my clients, or to the public health, safety or welfare because of any circumstance or condition.
6. I understand that I am responsible to update the Division of any changes relating to my license/certification/registration.

Signature of Authorized Signer: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name of the Authorized Signer: \_\_\_\_\_

Position of Authorized Signer: \_\_\_\_\_

**BUSINESS ORGANIZATION**

**Please select entity type:**

- Business Trust
- Corporation
- General Partnership
- Limited Liability Company
- Limited Partnership
- Limited Liability Partnership

*If registered as one of the above entities in Utah, complete Section 1 below.*

- Sole Proprietorship  
*If registered as sole proprietorship, complete Section 2 below.*

**Section 1: To be completed by Trust, Corporation, GP, LLC, LP and LLP applicants only.**

UT Division of Corporation Registration Number\*: \_\_\_\_\_ EIN: \_\_\_\_\_

Select one:  Domestic  Foreign      Is this company publicly traded?  Yes  No

DBA (if applicable) : \_\_\_\_\_ DBA Registration Number: \_\_\_\_\_

*\*It is required that all entities doing business in Utah register with the Division of Corporation and Commercial Code.*

**I understand that in all areas of this application the words “you”, “I” and “applicant” apply to the entity listed above and all subsidiaries, owners, officers, managers, qualifiers and prior entities for which these individuals have been involved.**

Signature of Authorized Signer: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name of the Authorized Signer: \_\_\_\_\_

Position of Authorized Signer: \_\_\_\_\_

**Section 2: To be completed by Sole Proprietorship applicants only.**

Full Legal Name: \_\_\_\_\_  
*First Middle Last*

All Previous Legal Names: \_\_\_\_\_

Other DOPL Licenses Held: \_\_\_\_\_

SSN: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Gender:  Male  Female

**Please Select ONE:**

- I am a United States citizen OR a non-citizen of the United States who is lawfully present.
- I am a foreign national not physically present in the United States.
- None of the above, please explain: \_\_\_\_\_

Driver License or State Id Card \_\_\_\_\_  
*State of Issue License/ID Number Expiration Date*

**NOTE:** If you do not hold a US Driver License or a US State ID, you must present a legible copy of your current and valid government issued document(s) showing evidence of authorization to work in the United States.

**If applicable, please complete the following:**

UT Division of Corporation Registration Number: \_\_\_\_\_ SSN or EIN: \_\_\_\_\_

DBA: \_\_\_\_\_ DBA Registration Number: \_\_\_\_\_

## QUALIFYING QUESTIONNAIRE

### Read thoroughly, and answer each question. Do not leave any question blank.

A "yes" answer does not necessarily mean you will not be granted a license; however, DOPL may request additional documentation if the information submitted is insufficient.

1. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever had a license, certificate, permit, or registration to practice a regulated profession denied, conditioned, curtailed, limited, restricted, suspended, revoked, reprimanded, or disciplined in any way?
2. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever been permitted to resign or surrender your license, certificate, permit, or registration to practice in a regulated profession while under investigation or while action was pending against you by any professional licensing agency or criminal or administrative jurisdiction?
3. <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you currently under investigation or is any disciplinary action pending against you now by any <i>local, state or federal licensing, enforcement or regulatory agency</i> ?
4. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever been declared by any court to be incompetent by reason of mental defect or disease and not restored?
5. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever had a documented case in which you were involved as the abuser in any incident of verbal, physical, mental, or sexual abuse?
6. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you been terminated, suspended, reprimanded, sanctioned, or asked to leave voluntarily from a position because of drug or alcohol use or abuse within the past five (5) years?
7. <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you currently using or have you recently ( <i>within 90 days</i> ) used any drugs ( <i>including recreational drugs</i> ) without a valid prescription, the possession or distribution of which is unlawful under applicable state or federal laws?
8. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever unlawfully used any drugs for which you have not successfully completed, or are not now participating in a supervised drug rehabilitation program, or for which you have not otherwise been successfully rehabilitated?
9. <input type="checkbox"/> Yes <input type="checkbox"/> No	Do you currently have any criminal action pending?*
10. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you pled guilty to, no contest to, entered into a plea in abeyance or been convicted of a misdemeanor in any jurisdiction within the past ten (10) years? *
11. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever pled guilty to, no contest to, or been convicted of a felony in any jurisdiction?*
12. <input type="checkbox"/> Yes <input type="checkbox"/> No	Have you ever been incarcerated for any reason in any correctional facility ( <i>domestic or foreign</i> ) in any jurisdiction or on probation/parole in any jurisdiction?*

**\*NOTE: Charges that were later dismissed and motor vehicle offenses such as driving while impaired or intoxicated must be disclosed; however, minor traffic offenses such as parking or speeding violations need not be listed.**

If you answered "Yes" to any of the above questions, enclose with this application complete information with respect to all circumstances and the final result, if such has been reached.

If you answered "Yes" to Questions **9,10,11** or **12** you must submit the following for **EACH** and **EVERY** incident:

- Personal account of the incident
- police report(s)
- court record(s)
- probation/parole officer report(s)

If you are unable to obtain any of the records required above, you must submit documentation on official letterhead from the police department and/or court indicating that the information is no longer available.

## REGISTRATION TO UNDERGO PEER REVIEW

Please select one:

- 1. AICPA (*Attach proof of registration, such as billing from AICPA.*)
- 2. UACPA (*Attach proof of registration, such as billing from UACPA.*)
- 3. Division of Occupational and Professional Licensing *Note: If you check this item, you must register with the Nevada Society of CPAs to schedule your peer review. Their website is: [www.nevadacpa.org/peer-review](http://www.nevadacpa.org/peer-review).*
- Exempt from peer review. (*Attach supporting documentation that the firm does not at the current time and will not during the term of its license offer services of preparation of financial statements to its clients.*) *Note: You must notify DOPL prior to offering these services in the future.*

## OWNERSHIP LISTING

Please complete the following information for all officers, corporate stockholders, directors, members, partners, and proprietors. Please make additional copies as needed.

**Full Legal Name:** \_\_\_\_\_  
*First* *Middle* *Last*

**SSN:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_\_ **Gender:**  Male  Female

**Position Held:** \_\_\_\_\_ **Percentage of Ownership:** \_\_\_\_\_

**Is this individual a Licensed CPA?**  Yes  No If yes, license number: \_\_\_\_\_

**Full Legal Name:** \_\_\_\_\_  
*First* *Middle* *Last*

**SSN:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_\_ **Gender:**  Male  Female

**Position Held:** \_\_\_\_\_ **Percentage of Ownership:** \_\_\_\_\_

**Is this individual a Licensed CPA?**  Yes  No If yes, license number: \_\_\_\_\_

**Full Legal Name:** \_\_\_\_\_  
*First* *Middle* *Last*

**SSN:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_\_ **Gender:**  Male  Female

**Position Held:** \_\_\_\_\_ **Percentage of Ownership:** \_\_\_\_\_

**Is this individual a Licensed CPA?**  Yes  No If yes, license number: \_\_\_\_\_

**Full Legal Name:** \_\_\_\_\_  
*First* *Middle* *Last*

**SSN:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_\_ **Gender:**  Male  Female

**Position Held:** \_\_\_\_\_ **Percentage of Ownership:** \_\_\_\_\_

**Is this individual a Licensed CPA?**  Yes  No If yes, license number: \_\_\_\_\_

**Full Legal Name:** \_\_\_\_\_  
*First* *Middle* *Last*

**SSN:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_\_ **Gender:**  Male  Female

**Position Held:** \_\_\_\_\_ **Percentage of Ownership:** \_\_\_\_\_

**Is this individual a Licensed CPA?**  Yes  No If yes, license number: \_\_\_\_\_

*Note: To become registered as a certified public accountancy firm in the State of Utah, a majority of the ownership and voting rights must be held by individuals who are CPAs and all non-licensed owners must be active in the CPA firm. Each branch or location must have a separate registration. Each branch or location must have at least one licensed CPA managing the office.*

## APPLICATION CHECKLIST AND INSTRUCTIONS

(This checklist is for your convenience, you do not need to include it with your application.)

Your application is classified as a public record and may be available for inspection by the public, except with regard to the release of information which is sub-classified as controlled, private, or protected under the Government Records Access and Management Act or restricted by other law.

The following items are required to complete your application:

- \$90.00 non-refundable application-processing fee, made payable to "DOPL".
- Supporting documentation for any "yes" answers provided on the "Qualifying Questionnaire". See page 2 of the application for more information.
- Supporting documentation for your peer review selection on page 2 of this application.

Submit the above items with your completed application to:

**In person or via express delivery:**

Division of Occupational and Professional Licensing  
Heber M Wells Building, 1<sup>st</sup> Floor Lobby  
160 E 300 S  
Salt Lake City, UT 84111

**US Postal Service:**

Division of Occupational and Professional Licensing  
PO BOX 146741  
Salt Lake City, UT 84114-6741