



Randall A. Ross, CPA
Executive Director

OKLAHOMA ACCOUNTANCY BOARD
201 NW 63rd Street, Suite 210
Oklahoma City, OK 73116
Ph: (405) 521-2397 Fax: (405) 521-3118
www.ok.gov/oab

2014 INDIVIDUAL REGISTRANT REPORTING FORM

(Name) _____ (Cert. /License Number, If Known) _____

(Address) _____

(City) _____ (State) _____ (Zip Code) _____

(Primary Phone) _____ (Secondary Phone) _____

(Email) _____

For Board Use Only

PART I: INFORMATION OF RECORD – REQUIRED

Changes of professional status or mailing address (including email) which occur subsequent to registration MUST be reported to the OAB within 30 days of the change.

	Yes	No
1. Do you practice any public accounting? (Please carefully review Section 15.1A(34)(a) of the Oklahoma Accountancy Act, available at www.ok.gov/oab , to complete this section.)	<input type="checkbox"/>	<input type="checkbox"/>
2. a. If you answered "Yes" to question 1 above, is your accounting office located in Oklahoma?	<input type="checkbox"/>	<input type="checkbox"/>
b. Do you enter Oklahoma from another jurisdiction to serve clients in Oklahoma?	<input type="checkbox"/>	<input type="checkbox"/>
3. <input type="checkbox"/> Not presently employed <input type="checkbox"/> Retired and not employed <input type="checkbox"/> Disabled beyond all gainful employment		
<i>If you checked any option on Question (3), skip ahead to Part II</i>		
4. Primary Employment: Check all that apply		
Classification: <input type="checkbox"/> Public Accounting <input type="checkbox"/> Industry <input type="checkbox"/> Government/Educator		
Role: <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partner <input type="checkbox"/> Shareholder <input type="checkbox"/> Member (LLC or PLLC) <input type="checkbox"/> Owner <input type="checkbox"/> Staff/Employee		
Business Name or Employer _____ <input type="checkbox"/> DBA		
Business Address _____		
Address	City	State Zip Code
5. Secondary: Check all that apply		
Classification: <input type="checkbox"/> Public Accounting <input type="checkbox"/> Industry <input type="checkbox"/> Government/Educator		
Role: <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partner <input type="checkbox"/> Shareholder <input type="checkbox"/> Member (LLC or PLLC) <input type="checkbox"/> Owner <input type="checkbox"/> Staff/Employee		
Business Name or Employer _____ <input type="checkbox"/> DBA		
Business Address _____		
Address	City	State Zip Code

PART II: ACCOUNTING SERVICES PERFORMED - REQUIRED

6. Check all services associated with accounting work performed last year whether for an employer, the public, anyone other than yourself, or non-compensated services for immediate family members.

- Attest services Compilations Tax return preparation Tax planning services Investment Services
- Financial planning Consulting Services Management Advisory Services Bookkeeping Services
- Litigation Support Services Other Accounting Services: _____

PART III: CPE EXEMPTION - REQUIRED

NOTE: If you checked yes to any question in Part II, you are not eligible for an exemption unless you changed to a retired status in 2013 or unless you were initially certified in 2014 and are not applying for an initial permit.

7. I am claiming an exemption to the CPE requirement for calendar year 2013 and certify that as of the beginning date of my exempt status I have not performed any of the services listed in Part II for my employer, the public or anyone other than myself or non-compensated services for my immediate family members: Yes No
8. I am claiming an exemption to the CPE requirement for calendar year 2013 on the following basis:
- a. I am a retired certificate or license holder. I am not employed, nor do I practice public accounting.
 - b. I am a certificate or license holder on active military service.
 - c. I am a disabled certificate or license holder. Due to medical circumstances, I am not employed, nor do I practice public accounting.
 - d. I am a certificate or license holder who is not employed or who is employed but not performing any services associated with accounting work listed in Part II above.
 - e. I was initially certified in 2014 and I do not have a CPE requirement for 2013.

Note: You are required to notify the OAB within 30 days of any change in employment status that would affect your CPE exemption.

PART IV: APPLICATION FOR PERMIT TO PRACTICE PUBLIC ACCOUNTING

9. I am filing this Reporting Form in conjunction with an application for a permit to practice. Yes No *(Skip to Part V)*
10. a. I am applying to renew a permit currently in effect. This choice is available only if you will be applying for permit renewal on or before the last day of your birth month.
- OR**
- b. I am renewing a lapsed permit or applying for an initial permit. I have completed the AICPA's Ethics Examination course entitled "**Professional Ethics: The AICPA's Comprehensive Course**" (with a score of 90% or above) as part of my CPE requirement for the permit for which I am now applying. Attach a copy of the certificate of completion and/or the electronic page from the AICPA showing your score.

Note: If you are renewing a lapsed permit or applying for an initial permit you must have completed 40 hours of CPE in the previous calendar year or within the last 365 days.

PART V: CPE REPORTING INFORMATION – REQUIRED UNLESS CLAIMING AN EXEMPTION

11. I am reporting CPE for the period January 1 through December 31, 2013, during which I earned:
 _____ total CPE credits
12. Of the total credits reported in the preceding question, (include any credits for ethics in the appropriate field) I earned:
 _____ credits related to professional ethics
 _____ credits related to the practice of public accounting in areas **OTHER THAN** taxation, accounting or assurance
 _____ credits **SPECIFICALLY RELATED** to the areas of taxation, accounting, or assurance
 _____ credits related to my industry, governmental, or academic position
 _____ credits related to the performance of compilations
13. Indicate appropriate compliance period:
 a. _____ All CPE credits were earned in calendar year 2013 **OR**
 b. _____ All CPE credits were earned in the 365-day period immediately preceding my official application date. **This choice is available only if you are applying for an initial permit or to renew a lapsed permit.**

PART VI: PEER REVIEW INFORMATION – COMPLETE ONLY IF YOU ARE A SOLE PROPRIETOR WHO IS NOT INCORPORATED

14. Do you perform attestation engagements*? Yes No
 (*This includes, but is not limited to the performance of audits, reviews, and agreed upon procedures)
15. Do you perform attestation engagements for governmental entities? Yes No
16. Have you had a peer review? Yes No
17. If “No” to Question 16, provide the engagement date of the first audit or review engagement performed: _____.
 (Not applicable if you only perform Compilations).
 If applicable, attach the *peer review enrollment confirmation* form indicating proof of enrollment in a Board approved Sponsoring Organization’s peer review program.

Pass Reports	Pass With Deficiencies or Fail Reports
<input type="checkbox"/> Peer Review Report <input type="checkbox"/> Final Letter of Acceptance from the Sponsoring Organization	<input type="checkbox"/> Peer Review Report <input type="checkbox"/> Letter of Comments <input type="checkbox"/> Letter of Response <input type="checkbox"/> Signed Agreement to the Conditional Letter of Acceptance <input type="checkbox"/> Final Letter of Acceptance from the Sponsoring Organization <input type="checkbox"/> \$100 Peer Review Report Fee
Peer Review Enrollment Confirmation	
<input type="checkbox"/> Enrollment in an OAB approved peer review program is required within 12 months of performing initial audit or review engagement.	

PART VII: FEE SCHEDULE

Use the table below to determine your fees due.

Registration Fee	\$50.00
Registration Fee (if 65 years of age or older)	\$25.00
Permit Fee	\$100.00
Late Filing Fee	\$50.00
Late Filing Fee (if 65 years of age or older)	\$25.00

NOTE: If you register after the last day of your birth month but within 30 days after the last day of your birth month, a late fee of \$50.00 also applies (\$25 for registrants 65 years of age or older). Failure to register within 30 days of the last day of your birth month will result in automatic revocation of your certificate.

18. Registration Fee: \$ _____
19. Permit Fee (if applicable): \$ _____
20. Late Fee (If applicable): \$ _____
21. I am submitting a total fee of \$ _____

Add the fees from 18 through 20 together to arrive at the total fee due. Make check or money order payable to OAB. **You are strongly encouraged to send one check for all fees.**

PART VIII: ATTESTATION - REQUIRED

- | | Yes | No |
|---|--------------------------|--------------------------|
| 22. Have any of the following events ever occurred <u>that have not been previously reported to the OAB</u> : (a) have you been arrested; (b) have you been charged with a crime or are any charges against you pending at this time; (c) have you pled guilty or nolo contendere to any charge(s); (d) have you been convicted of a crime? If yes to any of these questions, attach a signed explanation. | <input type="checkbox"/> | <input type="checkbox"/> |
| 23. Since your previous application or registration filed with the OAB, have you been disciplined or had a CPA certificate, PA license or practice privilege of any other jurisdiction or foreign country cancelled, revoked, or suspended; have you been refused licensing or renewal of a license or permit by any regulatory agency; or are any disciplinary actions pending at this time? If yes, attach a signed explanation. | <input type="checkbox"/> | <input type="checkbox"/> |
| 24. Have you had any professional credential cancelled, revoked or suspended by enforcement action that has not been previously reported to the OAB? If yes, attach a signed explanation. | <input type="checkbox"/> | <input type="checkbox"/> |
| 25. I attest that all the information that I have provided is true and correct. I further understand that I am subject to and will abide by the Oklahoma Accountancy Act, the Board's rules, and the American Institute of Certified Public Accountants' Code of Professional Conduct. | | |

Signature: _____ Date: _____

Please be aware that most information provided to the OAB is considered an open record and may be released, except where such release is specifically prohibited by the Oklahoma Accountancy Act, the Oklahoma Open Records Act, or the Federal Privacy Act (i.e., social security numbers, transcripts, examination grades, peer review reports).