



**Application for variation of AFA
authorisation.
Change of FAS scope.**

**I apply to the Financial Markets Authority (FMA) for a variation of my
authorisation to change my financial adviser service (FAS) scope.**

First Name:	
Middle Name(s):	
Last Name:	
FSP number:	
FAS scope I am currently authorised to provide:	
Date of authorisation:	
Expiry of authorisation:	
Preferred daytime contact number:	

Financial Adviser Service (FAS) scope

Please select the FAS scope you now wish to be authorised for:

- Financial advice
- Financial advice and investment planning services
- Financial advice and personalised discretionary investment management services
- Financial advice, personalised discretionary investment management services and investment planning services
- Financial adviser services in relation to category 2 products only
- Financial adviser services to wholesale clients and provision of class service

Competence

The FMA must be satisfied that you have met the level of competence, knowledge and skills specified in the [Code of Professional Conduct for Authorised Financial Advisers](#) (Code) for the FAS scope you are applying to be authorised for.

The table below sets out the Unit Standard Sets you need to complete to meet the competence requirements for authorisation in each FAS scope.

Financial adviser service or services	Competence Requirements (Unit Standard Sets)
Financial Advice	A, B, C, D
Financial Advice and Investment Planning Services	A, B, C, D
Personalised Discretionary Investment Management Services	A, B, D
Financial Advice and Personalised Discretionary Investment Management Services	A, B, C, D
Financial Advice, Personalised Discretionary Investment Management Services and Investment Planning Services	A, B, C, D
Financial adviser services in relation to Category 2 Products only	A, B, C, E
Financial adviser services to wholesale clients and provision of class services	A, B

Alternative qualifications or designations.

The [AFA Authorisation Guide](#) outlines the procedure you will need to follow to provide evidence of any alternative qualifications or designations you wish to rely upon. The Competence Alternative Schedule in the Code lists the qualifications and designations which are acceptable alternatives to certain Unit Standard Sets.

Additional Competence requirements

You have provided to the FMA the competence requirements for the FAS scope you are currently authorised to provide.

Please determine what competence requirements (if any) you are required to meet for the additional FAS scope you are applying to be authorised for.

The additional the competence requirements I am required to meet are:

Unit Standard Set A

Unit Standard Set B

Unit Standard Set C

Unit Standard Set D

Unit Standard Set E

Not applicable (if you already meet the competence criteria of the additional FAS scope)

I have attached the document(s) listed below as evidence that I have met the additional competence requirements required for the additional FAS scope I have selected.

Unit Standard Set A	
Unit Standard Set B	
Unit Standard Set C	
Unit Standard Set D	
Unit Standard Set E	

After reading the information above, I confirm that I meet the competence requirements required to be eligible for authorisation for the additional FAS scope I have selected.

Yes No

Fee details

Application fee

The application fee payable is the total of:

1. \$115.00 (inclusive of GST); plus
2. \$178.25 (inclusive of GST) for every hour, or part-hour pro rata, of work carried out by a member or employee of the FMA in considering the application.

The amount of \$115.00 is payable when submitting this application.

In addition to the amount of \$115.00, I understand that I am liable to pay the balance of the application fee being the amount calculated at the rate of \$178.25 (incl. GST) for every hour, or part-hour pro rata, of work carried out by a member or employee of the FMA in considering the application.

I agree to pay the balance of the application fee calculated above on receipt of the invoice from the FMA for that amount.

Method of payment

The fee may be paid by Cheque or Bank Transfer.

1. Cheque

If you wish to pay the application fee by cheque, please forward a cheque for **\$115.00** payable to the Financial Markets Authority. The cheque should be posted to the address below with your name and FSP number clearly written on the back of the cheque.

AFA Licensing team
FMA
PO Box 1179
Wellington 6140

2. Bank transfer

If you wish to pay the \$115.00 amount by bank transfer, please insert the details below when making the bank transfer.

Your Details

Amount

FMA Account Number (Westpac)

Surname, First Name and FSP number

\$115.00

03 0584 0198005 00

Payment Details

I have paid the application fee of \$115.00 (incl. GST) by either:

- a. Cheque I have posted a cheque on / / 20..
- b. Bank transfer I have paid the fee of \$115.00 to the FMA's bank account on

Declaration

I _____
Full name

of _____
Town/city

declare that all the information provided by me in this application to the FMA is true and correct to the best of my knowledge.

Signature:

Dated: _____ day of _____ 20 _____

Please print, sign, date and send this application via email as a pdf document to:

AFAapplications@fma.govt.nz

If you have any questions please email afaapplications@fma.govt.nz