
TESTIMONIAL – NON STANDARD

Applicant Name:

Referee

Full Name:

Address:

Telephone:

Email:

Section 1 - Relationship to the Applicant

1. Please describe your relationship with the applicant and how it arose i.e. work-related, professional or personal.
2. If your relationship was work-related, what role or roles has the applicant been employed in during the period of that relationship?
3. How long have you known the applicant for? Please specify dates.
4. Is the applicant a family member or relation of yours? If your answer is Yes, please provide details below).

5. Is there anything else that might prevent you from commenting objectively on the applicant? If your answer is Yes, please provide details below.

Section 2 - Good Character Criteria

The Financial Markets Authority (FMA) must be satisfied that an applicant for authorisation is a person of good character before it may grant authorisation.

To enable FMA to make an assessment about the applicant's character, please answer the following questions.

6. Are you aware if the applicant has been involved with any of the types of conduct listed below?
- | | |
|--|----------|
| a) has been dismissed from employment or asked to resign from a position of trust, fiduciary responsibility or similar; | Yes / No |
| b) has been investigated, charged, disciplined, censured, suspended or criticised by a regulatory or professional body, court or tribunal; | Yes / No |
| c) has been or currently is the subject of a complaint to a professional body; | Yes / No |
| d) has current or pending disciplinary charges, criminal charges, dispute resolution matters or civil proceedings against him/her either in New Zealand or overseas; | Yes / No |
| e) holds or held a position of responsibility in a business or organisation which has gone into liquidation or receivership while he/she was connected with that business or organisation or within one year of that connection; | Yes / No |
| f) is a party in civil proceedings brought against him/her. | Yes / No |

If you have answered "Yes" to any of the above please provide further details below

7. Are you aware if the applicant has been involved with any of the types of conduct listed below?

- | | |
|--|----------|
| a) a lack of willingness to comply with legal obligations, regulatory requirements or professional standards; | Yes / No |
| b) obstructive, misleading or untruthful dealings with others; | Yes / No |
| c) a breach of fiduciary obligation or other obligation involving trust; | Yes / No |
| d) a failure to deal appropriately with conflicts of interest; | Yes / No |
| e) involvement in negligent, deceitful or otherwise discreditable business or professional practices including being involved in the management or being a major shareholder of a company employing discreditable practices; | Yes / No |
| f) failure to manage business or personal debts or financial affairs satisfactorily. | Yes / No |

If you have answered "Yes" to any of the above please provide further details.

Section 3 – Work related or professional relationship

If your relationship with the applicant is work-related or a professional relationship, please answer the following questions. You will need to ensure that you provide a brief explanation for each question. "Yes/No" responses without an explanation, will not be accepted.

8. Does the applicant show due care and diligence when interacting with colleagues internally or with clients externally?

9. Does the applicant act with integrity and objectivity when providing professional or commercial advice when interacting with colleagues internally or with clients externally?

10. Do you consider that the applicant acts with professionalism when interacting with colleagues internally or with clients externally?

11. Would you recommend the applicant to your friends or clients?

Section 4 – Non-work related relationship

If your relationship with the applicant is non-work-related or professional, please answer the following questions.

12. How would you describe the applicant’s behaviour in the following areas of conduct:

- a) Honesty and probity in dealing with financial matters

- b) Trustworthiness in complying with rules or legal obligations

- c) Ethics in dealing with conflicts of interest

- d) Integrity in providing service to others

Declaration

I confirm that I am the person named in this testimonial. I am aware that the answers and information that I have provided in this testimonial will be provided to the Financial Markets Authority and used in support of an application for authorisation of this financial adviser.

I declare that to the best of my knowledge and after due inquiry, the information I have provided on this form is true, complete and correct.

Signature

Date