



**Associated entity consent:
QFE Group renewal**

The associated entity consents to nomination under the QFE Group status renewal application of:

Insert name of the QFE Group

Associate Entity Details

Associated entity
Name:

FSP Number:

QFE Group name:

I am the person authorised to consent to the nomination of the Associated Entity to be approved

Full Name:

Position with the
Associated Entity:

Contact phone
number:

Confirmation

I _____

of _____

confirm that:

1. I am a _____ of the associated entity.
2. I have been authorised by the associated entity to complete this consent on its behalf.
3. I have made all necessary enquiries to ensure the associated entity is not disqualified from registration as a financial service provider under section 14 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008.
4. All of the information contained in this consent is true and correct.

I understand that knowingly making a false or misleading representation or omission is a criminal offence under section 41 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008 and under section 136 of the Financial Advisers Act 2008.

Signature _____

Dated _____ day of _____ 20_____

To submit your application please;

1. Complete the Consent form and save it locally for your reference; and
2. Print the front page, sign and date the Confirmation section; and
3. Scan the signed front page to the email address of the QFE Group director / senior manager who is submitting the renewal application to FMA; and
4. Email the completed form to the QFE Group Director / Senior Manager who will then submit the completed Consent and the scanned front page with the renewal application to FMA.

Registration	
The Associated Entity is registered on the Financial Service Providers Register or is an exempt provider.	True <input type="checkbox"/> False <input type="checkbox"/>
The Associated Entity is not disqualified under section 14 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008.	True <input type="checkbox"/> False <input type="checkbox"/>

Terms of QFE Group status	
The Associated Entity agrees to comply with the terms of the grant of the renewed QFE status of the QFE group which the associated entity is a part of.	True <input type="checkbox"/> False <input type="checkbox"/>

Documentation	
I have completed the Appendix to this document with the information relating to the Associated Entity's business.	Yes <input type="checkbox"/> No <input type="checkbox"/>

APPENDIX

Please complete the following in relation to your QFE business :

Q.1

How many retail customers do you have?

(Enter the number in units. An approximate number is appropriate e.g.1,230,000,000)

What are your retail Funds Under Management?

(Enter the number in NZD. An approximate number is appropriate)

What is your Annual Premium Income?

(Enter the number in NZD. An approximate number is appropriate)

What is the total value of your retail Loan Book?

(Enter the number in NZD. An approximate number is appropriate)

Q.2**Which of the following products do you offer?**

Kiwisaver

The Category 1 QFE products that are offered are: (other than KiwiSaver)	Yes	No
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An FMCA financial product (other than a product that is a category 2 product)		
	Yes	No

- (a) A debt security
- (b) An equity security
- (c) A managed investment product
- (d) A derivative

A DIMS facility (other than a facility that is a category 2 product)	Yes	No
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An investment-linked contract of insurance	Yes	No
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Any other product specified by the regulations	Yes	No
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A renewal or variation of the terms or conditions of an existing category 1 product	Yes	No
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The Category 2 QFE products that are offered are:

A bank term deposit	Yes	No
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A bonus bond	Yes	No
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A call building society share	Yes	No
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A call credit union share	Yes	No
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A call debt security	Yes	No
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A share in a co-operative company (as defined in section 2(1) of the Co-operative Companies Act 1996)	Yes	No
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A unit in a cash or term portfolio investment entity (as defined in the regulations)	Yes	No
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A consumer credit contract within the meaning of the Credit Contracts and Consumer Finance Act 2003	Yes	No
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A contract of insurance (other than an investment-linked contract of insurance)	Yes	No
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A life insurance policy (within the meaning of section 2(1) of the Securities Act 1978) issued before 1 January 2009	Yes	No
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A DIMS facility, if the investment authority covers only category 2 products	Yes	No
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Any other product specified by the regulations	Yes	No
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A renewal or variation of the terms or conditions of any existing category 2 product Yes No

The advice on these products is offered by one or more of:

AFAs	<input type="checkbox"/>
QFE Advisers	<input type="checkbox"/>
Nominated reps	<input type="checkbox"/>

Q.3

How many advisers are your QFE responsible for?

(Large or uncertain numbers may be entered approximately)

1. Authorised Financial Advisers:
2. QFE advisers: (excluding AFAs and nominated representatives)
3. Nominated representatives:

Q.4

Structure

(Large or uncertain numbers may be entered approximately)

How many locations / branches do you have?

How many brokers/ agents (outside your QFE) distribute your products?

(Count each firm as 1)

Who is your licenced auditor?

If your Auditor is not included in the dropdown list, please specify

Q.5

Is the QFE or its parent/group also regulated by any of the following entities?

RBNZ	Yes	No
APRA or ASIC	Yes	No
SEC or other US	Yes	No
FCA or other UK	Yes	No
ESMA (Europe)	Yes	No

Other IOSCO member	Yes	No
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Q.6

How are your advisers (per Q3) remunerated?

Salary	Yes	No
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Rewards points	Yes	No
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Bonus	Yes	No
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Soft incentives	Yes	No
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Commission	Yes	No
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Other - please specify	Yes	No
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Any other comments?