

SUPERVISOR LICENCE

This is to certify that

THE NEW ZEALAND GUARDIAN TRUST COMPANY LIMITED

FSP33501



is licensed under section 16(1) of the Financial Markets Supervisors Act 2011 to act as:

- A supervisor in respect of debt securities
- A supervisor in respect of registered schemes

This licence is subject to the following conditions:

- As part of the reports required to be provided to the FMA under section 25 of the Financial Markets Supervisors Act 2011, The New Zealand Guardian Trust Company Limited (NZGT) must deliver a certificate signed by at least a majority of NZGT's Board members stating that in their opinion:
 - NZGT has allocated sufficient financial resources and independence to support and develop its supervisor business; and
 - NZGT holds adequate professional indemnity insurance for its supervisor business.
- NZGT will adopt and implement a compliance plan approved by the FMA.

The first report required under section 25 of the Financial Markets Supervisors Act 2011 and this licence must be delivered by 31 October 2023.

Samantha Barrass
Chief Executive

Licence effective from
17 March 2023

Licence expires on
16 March 2028

