

Notification of change of director or senior manager by licensee and/or key personnel of authorised body (under Regulation 191 of the FMC Regulations 2014)

Licence details

Details of market services licence under Financial Markets Conduct Act 2013
Complete as applicable

Licensee name

FSP

Licence type(s)

1. Licensee changed director/senior manager

Amendment Type	Effective Date	Full Legal Name	Date of Birth	Position
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Describe any
material changes

2. Authorised Body change to key personnel (if any)

Authorised Body name

FSP

Authorised Body changed key personnel

(Key personnel are the executive directors and those senior managers of the authorised body that perform duties in connection with providing the market service covered by the licence (see regulation 188 of the FMC Regulations 2014))

Amendment Type	Effective Date	Full Legal Name	Date of Birth	Position
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Describe any
material changes

Fit and proper checks

The licensing minimum standards require you to ensure that your new directors, senior managers and key personnel are fit and proper. Please confirm that you have carried out the checks and searches below in respect of each new appointment:

NOT1.1.

Change of director, senior manager and/or key personnel

Oct 2024

Name of new director/senior manager/key personnel	Ministry of Justice criminal record check	Disqualified director search	Insolvency register search	Debt Repayment order search	Were any issues or discrepancies identified in any of these searches?
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Other fit and proper searches conducted (eg. If director etc is not resident in New Zealand)

Name of new director/senior manager/key personnel	Detail of any other searches that have been conducted	Were any issues or discrepancies identified in any of these searches?
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If any issues or discrepancies were identified in any of the searches above, please provide the FMA with a copy of those search results.

If any of the appointment changes result in a material change provide a separate explanation and attach to the notification.

Note that you will need to obtain the consent of the new appointee before providing the FMA with a copy of their Ministry of Justice criminal record check.

I confirm that we have followed our internal policies and processes and maintain the fit and proper standards for licensing.

Completed by

Position

Signed

Date

You will need to also notify any change to directors to the Registrar of Companies and any change to senior managers and key personnel to the Registrar of Financial Services Providers.

Check list

Before you email the form off, check have you completed:

Licensee name and FSP no.

Licence types these changes relate to

If amendment is for the **licensee** directors or senior managers

Amendment type

Effective date

Full legal name and DoB

Position they will hold / held

Described any material change

If amendment is for an **Authorised Body**

Authorised Body name and FSP no.

Changes to the key personnel

Amendment type

Effective date

Full legal name and DoB

Position they will hold / held

Described any material change

For each of the above persons,

Selected the Fit and proper checks carried out for each director/senior manager/key personnel

Signed the form

Notified changes to directors to the Registrar of Companies and changes to senior managers and key personnel to the Registrar of Financial Services Providers.