

Asia Region Funds Passport

Application form for FOREIGN passport funds wishing to make offers in New Zealand

Unless otherwise specified, references to annexes, parts and sections are to annexes, parts and sections of the Memorandum of Cooperation on the Establishment and Implementation of the Asia Region Funds Passport (the **Memorandum**), the text of which is set out in Schedule 2 of the Financial Markets Conduct (Asia Region Funds Passport) Regulations 2019 (the **ARFP Regulations**). Unless the context otherwise requires, terms or expression defined in the Memorandum have the same meaning in this form

1. Applicant details		
1.	Name of Operator	<Full legal name>
2.	Principal place of business of the Operator [Annex 2, s3(4)(g)]	<full address>

2. New Zealand details		
3.	FSP number of the Operator	< FSP >
4.	Name, FSP number and contact details for each New Zealand distributor	<Name> <Contact Details> <FSP>
5.	Name, address and contact details of the local representative or agent in New Zealand authorised to accept service on the Operator's behalf	<Name> <Full address>
6.	Name of the Operator's dispute resolution scheme and registration or member number	<drop down list of DRS> <enter registration or member number>

3. Fund details		
7.	Link to the page on home regulator's website that indicates the fund has been registered as a Passport Fund	<Insert web link>
8.	Proposed name of the fund [Annex 2, s4(5)(d)]	New Zealand fund name: Home Economy fund name (if different):
9.	Unique registration code(s) [Annex 2, s4(2)(a)]	<Enter home economy's unique registration code>
10.	Home economy of fund [Annex 2, s3(4)(g)]	<Enter home country of registration>
11.	If the fund is a sub fund, name of the Regulated CIS it is a sub fund of	<Name>
12.	Total asset value (<i>in USD</i>) of funds under management ¹ by the Operator and its related parties under Annex 2 s3(4)(a) (calculated in accordance with Annex 2 s3(5))	USD\$
13.	Link to the Operator's website and the fund's website (if any)	Operator <www.> Fund <www.>

¹ Any calculation must be based on an exchange rate calculated as an average of the exchange rates as at first business day in the capital city of your home economy of 1) the year of application and 2) each of the previous four years.

4. Compliance		
14.	Is the fund in material compliance with the laws of its home economy? [Annex 2, s4(5)(a)(ii)]	Yes / No <i>If no, enter full details</i> >
15.	Is the Operator in material compliance with the laws of its home economy? [Annex 2, s 4(5)(a)(ii)]	Yes / No <i>If no, enter full details</i> >
16.	Has the Operator or the fund been granted an exemption or waiver from, or modification of, the Passport Rules by their Home Regulator? [Annex 2, s4(5)(c)]	Yes / No <i><If yes, enter full details</i> >

5. Compliance processes and procedures		
17.	Provide details of the processes and procedures the Operator has in place to:	
18.	receive, consider and respond to complaints about the fund or Operator by New Zealand investors. [Annex 2, s 4(5)(a)(i)]	
19.	monitor the compliance of its New Zealand distributor with New Zealand law. [Annex 2, s4(5)(a)(i)]	
20.	ensure the fund's disclosure, advertising and marketing complies with New Zealand law. [Annex 2, s4(5)(a)(i)]	
21.	communicate or report to New Zealand investors in compliance with New Zealand law. [Annex 2, s4(5)(a)(i)]	
22.	ensure all notifications, information and documents required to be lodged with the FMA or the Registrar are lodged on time. [Annex 2, s4(5)(a)(i)]	

6. Supporting documents and information (must be provided in English language)		
23.	Provide a copy of Part A of the fund's home economy registration application. [Annex 2, s4(2)(b)]	
24.	Provide a copy of any exemption or modification provided by your home regulator that is relevant to the offer [Annex 2, Part 5	
25.	Provide a description of any offers of the managed investment products in the home economy that show how Annex 3, s17 is and will be complied with	

Reminder – please pay your application fee as advised by us in New Zealand dollars to account 03-0584-0198005-000.

By submitting this application I apply for entry of the fund into New Zealand under reg 12(1)(a) of the ARFP Regulations and Annex 2 s4 of the Memorandum, and confirm that all information provided is true and correct and that I have authority to submit the form on behalf of the Operator.

Completed by:	<i>[Name]</i>	Position:	<i>[Role or Relationship to Operator]</i>
Contact number:		Email:	
Website(s):			
Signed:		Date:	

7. Application key contact person details

Complete if contact information is different to the above

Name	
Position	
Phone – landline	
Phone – mobile	
Email	