Notification of change of director or senior manager of licensee and/or key personnel of authorised body

STATUTORY DECLARATION FORM

Financial Markets Supervisor Act licence
Please complete notification form as appropriate and email to: licensing@fma.govt.nz

Licence Details

Details of market services licence under Financial Markets Supervisors Act 2011 Complete as applicable

FSP Licensee name
N7BN number

Director / Senior Manager Details

Name	Date of Birth			
Email address				
Home Address				
	Postcode			
Daytime telephone number				

Notes:

- 1. If you require more space to provide your responses please attach as a supporting document.
- 2. Please ensure any changes you make to your directors are updated on the Companies Office register and any changes to your senior managers or the key personnel of authorised bodies are updated on the Financial Service providers Register.

For each of the following questions select 'yes' or 'no'

Professional history

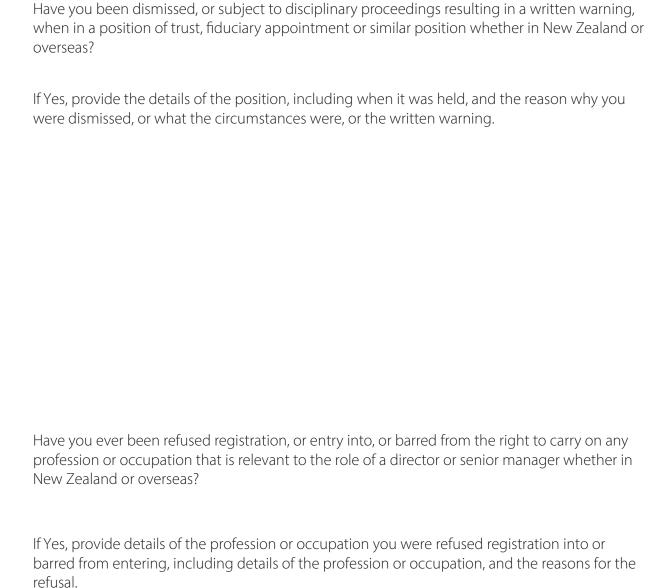
Have you been the subject of any disciplinary action taken by a disciplinary body for any profession or occupation in New Zealand or overseas?

If Yes, describe when and why the disciplinary action was taken, the name of the disciplinary body that took the action and what the outcome was.

Have you within the last 7 years:

- been a director of, or
- been a partner in, or
- held any position of senior management in any company that has gone into liquidation or receivership while you were connected to that organisation.

If Yes, provide the details of the company, your association with the company and the circum-stances surrounding the liquidation or receivership?



Please see regulation 5(1) of the Financial Markets Supervisors Regulations 2014 for examples of relevant professional bodies.

If Yes, provide details of all relevant professional memberships.

Are you currently a member of any professional bodies?

Character assessment

Have you ever been the subject of a successful civil or criminal proceeding, regulatory action, or disciplinary action whether in New Zealand or overseas?

If Yes, please provide details of the matter, including what the finding was, when the matter occurred and what the outcome was (i.e. a fine, censure, warning, or a sentence of imprisonment).

Statutory declaration					
١,		of			
SC	solemnly and sincerely declare the following:				
•	that I am the	e above-named director/senior manager			
•	that the information provided in this form is full and correct				
•		stand the applicant's obligations under the Financial ancial Markets Supervisors Regulations 2014	Markets Supervisors Act 2011		
•	that I am aw	vare the information provided in this form is being co	llected for the FMA.		
In submitting (or authorising this form to be submitted), I authorise:					
i.	the FMA to collect personal information from any person, including any New Zealand or overseas government agency or professional body, (a third party) to determine my good character as a senior manager or director of the applicant, including carrying out identity, good character, qualification, and criminal checks				
ii.	i. the FMA to disclose personal information to the third party				
iii.	iii. the third party to disclose personal information to the FMA				
i∨.	v. the FMA to use personal information provided, or collected, in connection with this licensing application in performing its functions and exercising its powers under the Financial Supervisors Act 2011 or any other legislation.				
And I make this solemn declaration, conscientiously believing the same to be true, and by virtue of the Oaths and Declarations Act 1957.					
Signature of person making declaration					
De	eclared at				
Th	nis	day of	20		
Вє	efore me:				
Full name and designation of person taking the statutory declaration (as designated by the Oaths and Declarations Act 1957)					
Nä	ame				

Designation

Signed

(Note: If you are making this declaration outside of New Zealand, please make sure it is sworn in accordance with section 11 of the Oaths and Declarations Act 1957).