

APPLICATION FORM FOR FINANCIAL MARKETS SUPERVISORS LICENCE
(FOR A NEW LICENCE OR TO REPLACE AN EXPIRING LICENCE)

Applicant company details:

1. Company name (as registered): _____
2. Company number: _____
3. Company Financial Service Provider (FSP)
Number (if applicable): _____
4. Registered company address:
Street number
(or PO Box) _____
Street name _____
Suburb _____
Town or city _____ Postcode _____

Licence details

5. Please select ONE or more of the following as appropriate:

The applicant seeks a licence as a supervisor for debt securities

The applicant seeks a licence as a supervisor for registered schemes. Please indicate which category(s) below:

- a) KiwiSaver schemes
- b) Non-fund schemes
- c) Specified managed funds
- d) Superannuation schemes.

The applicant seeks a licence as a statutory supervisor for retirement villages

Please initial here

6. If you have ticked either of the first 2 boxes under Q5, please select ONE of the following:

The applicant seeks to be licensed for debt securities and/or registered schemes,
generally The applicant seeks to be licensed for specific debt securities and/or specific
registered schemes (please list these in Appendix 1)

7. If you have ticked the last box of Q5, please select ONE of the following:

The applicant seeks to be licensed for retirement villages generally
The applicant seeks to be licensed for specific retirement villages (please list
in Appendix 2)

Contact details:

- 8. Contact name: _____
- 9. Contact email address: _____
- 10. Contact phone number: _____

Declaration

- 11. I confirm this applicant and the applicant’s governing body have authorised me to apply for this licence.
- 12. After having conducted all the necessary enquiries, I declare the information provided in this form is true and correct to the best of my knowledge.

Name of individual completing form on behalf of the applicant entity:

Signed: _____

Dated: ____/____/____

Please initial here

Date: ____/____/____

Fee details, how to pay your fee and how to submit your application

Fees

Financial Markets Authority (Fees) Regulations 2011

Application fee: \$8,021.25

Full amount payable \$8,021.25

Payment of \$8,021.25 by internet banking or
At a Westpac branch

Hourly rate payable if 52 hours exceeded:

Qualified FMA Employee: \$178.25

FMA Board Member: \$230.00

How to pay

Payment option	How do I pay?	Additional information
Internet banking	Select the bill payment option. Our bank details are: Bank name: Westpac Account name: Financial Markets Authority Account number: 03 0584 0198005 002	To ensure we process your payment correctly you need to provide the following information: Particulars: Full name of business applying for the licence Code: Supervisors Reference: FSP number (if registered)
Westpac branch	Call in to your nearest Westpac branch and pay your fee by cash, cheque, or Smart ATM.	To ensure we process your payment correctly you need to provide the following information: Particulars: Full name of business applying for the licence Code: Supervisors Reference: FSP number (if registered)

Please note that payment by Credit Card is not available for this application process.

How to submit your application

Completed PDF versions of the application form, declarations and supporting forms can be submitted to the FMA by email to renewals@fma.govt.nz. Alternatively, the completed application form and supporting documents can be submitted in one package to the FMA addressed to;

Licensing Manager
Level 2
1 Grey Street
PO Box 1179
Wellington 6140

Please initial here

Appendix 1:

Debt securities and/or registered scheme for which licence is sought

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____
- 6. _____
- 7. _____
- 8. _____
- 9. _____
- 10. _____
- 11. _____
- 12. _____
- 13. _____
- 14. _____
- 15. _____
- 16. _____
- 17. _____
- 18. _____
- 19. _____
- 20. _____
- 21. _____
- 22. _____
- 23. _____
- 24. _____
- 25. _____
- 26. _____
- 27. _____
- 28. _____
- 29. _____

Please initial here

Appendix 2:

Retirement villages for which licence is sought

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____
- 6. _____
- 7. _____
- 8. _____
- 9. _____
- 10. _____
- 11. _____
- 12. _____
- 13. _____
- 14. _____
- 15. _____
- 16. _____
- 17. _____
- 18. _____
- 19. _____
- 20. _____
- 21. _____
- 22. _____
- 23. _____
- 24. _____
- 25. _____
- 26. _____
- 27. _____
- 28. _____
- 29. _____

Please initial here