

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](mailto:licensing@fma.govt.nz)

## Licence Details

### *Details of market services licence under Financial Markets Supervisors Act 2011*

*Complete as applicable*

FSP Licensee name

NZBN 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 circumstances surrounding the liquidation or receivership?

Have you been dismissed, or subject to disciplinary proceedings resulting in a written warning, when in a position of trust, fiduciary appointment or similar position whether in New Zealand or overseas?

If Yes, provide the details of the position, including when it was held, and the reason why you were dismissed, or what the circumstances were, or the written warning.

Have you ever been refused registration, or entry into, or barred from the right to carry on any profession or occupation that is relevant to the role of a director or senior manager whether in New Zealand or overseas?

If Yes, provide details of the profession or occupation you were refused registration into or barred from entering, including details of the profession or occupation, and the reasons for the refusal.

Are you currently a member of any professional bodies?

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.

## **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

I, \_\_\_\_\_ of \_\_\_\_\_

solemnly and sincerely declare the following:

- that I am the above-named director/senior manager
- that the information provided in this form is full and correct
- that I understand the applicant's obligations under the Financial Markets Supervisors Act 2011 and the Financial Markets Supervisors Regulations 2014
- that I am aware the information provided in this form is being collected 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. the FMA to disclose personal information to the third party
- iii. the third party to disclose personal information to the FMA
- iv. 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

Declared at

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

Before me:

Full name and designation of person taking the statutory declaration (as designated by the Oaths and Declarations Act 1957)

Name

Signed

Designation

*(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).*