



SUPPORTING INFORMATION CHECKLIST AND STATUTORY DECLARATION

INFORMATION FOR LICENSING UNDER SECTION 16 OF THE FINANCIAL MARKETS SUPERVISORS ACT 2011 (The Act)

Applicant company details:

- 1. Company name (as registered):
- 2. Company Financial Service Provider (FSP):

Director/senior manager details:

Please complete and submit with this form a DIR1.1 Var form for each and every director and senior manager as required by Section 16 of the Act.

3. Please identify the name and position of each director/senior manager submitting a DIR1.1 Var form for your application by completing Appendix 1.

I confirm that all the required directors and senior managers have completed DIR1.1 Var forms, and their names are listed in Appendix 1.

Please initial here

- Page 1 of 5 -

Date:

/

Application document checklist:

4. To vary a licence, the applicant is required to provide a number of supporting documents. Please confirm that you have supplied the required documents with this form by ticking the appropriate boxes.

Provided with Tru2.1 Var form

- i. Business details
- ii. Good character (DIR1.1 Var Forms)
- iii. FSP (RDR) Act compliance
- iv. Experience, skills and qualifications
- v. Compliance controls
- vi. Compliance monitoring
- vii. Financial resources
- viii. Other resources
- ix. Independence
- x. Governance
- xi. Professional indemnity insurance
- xii. Other matters

Please ensure that you use the cover pages provided in Appendix 2 to identify the documents being submitted for assessment.

Please refer to Part C of the 'Guidance Note: Supervisor Licensing' for help on providing the information required under each of the heading.

- Page 2 of 5 -

Please initial here

Confirmation

I confirm that prior to completing this application I understand the entity's obligations under the Act, and the Financial Markets Supervisors Regulations 2014, and I have read and understood 'Guidance Note: Supervisor Licensing' issued by the Financial Markets Authority.

I confirm (please tick those statements that are applicable):

Debt securities and/or registered schemes

The applicant is currently registered under the Financial Service Providers (Registration and Dispute Resolution) Act 2008.

Retirement Villages:

The applicant is compliant with section 13 (a) of the Financial Service Providers (Registration and Dispute Resolution) Act 2008.

Statutory declaration

١,

solemnly and sincerely declare the following:

that I have been authorised to act on behalf of the above named applicant in the making of this application,

, of

• that having conducted all necessary enquiries, I declare the information provided in this TRU2.1 Var form is true and correct to the best of my knowledge,

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the Oaths and Declarations Act 1957.

S	Signature of person making declaration		
Declared at before me:	this day of	20	
	—		

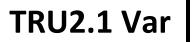
Full name and designation of person to take statutory declaration

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

- Page 3 of 5 -

Please initial here

Date: _____/____

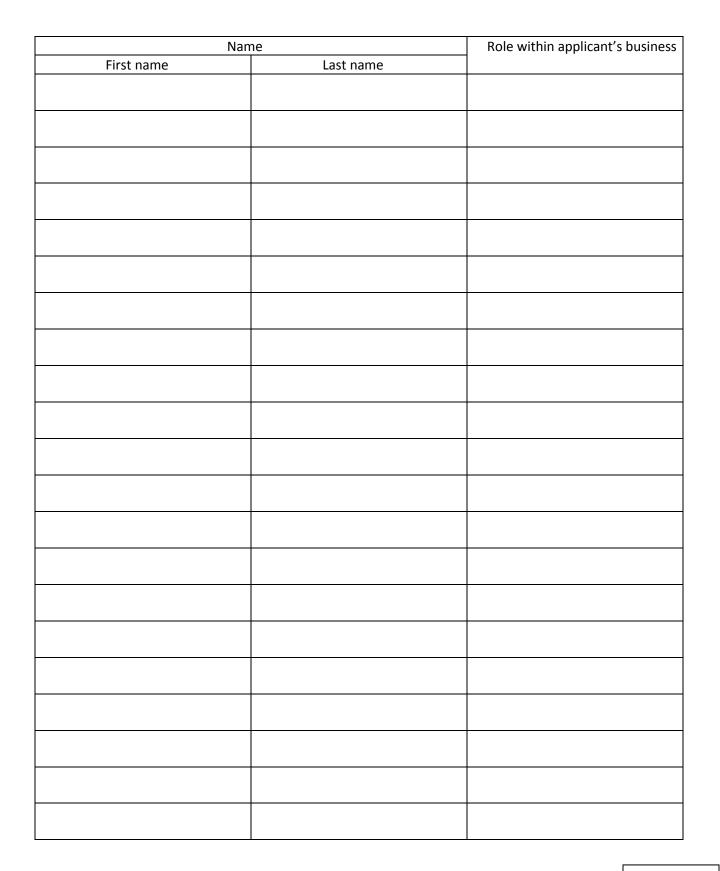


Appendix 1

Name		Role within applicant's business
First name	Last name	

Please initial here

- Page 4 of 5 -



Please initial here

TRU2.1 Var

- Page 5 of 5 -

TRU2.1 Var

Appendix 2

1. Business details

Company name:

Company FSP number: _____

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	
	Batean			_

2. Good character (DIR1.1 Var Forms)

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	

3. FSP (RDR) Act compliance

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

		, ,
Signed:	Dated:	/ /

4. Experience, skills and qualifications

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	
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5. Compliance controls

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	[Dated:	/ /	/

6. Compliance monitoring

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	

7. Financial resources

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	
	Batean			_

8. Other resources

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/ /	

9. Independence

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed: Dated:	/	/	
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10. Governance	
Company name:	

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/ /	

11. Professional indemnity insurance

Company name:

Company FSP number:

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/	/	
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12.	Other	matters

Company name:

Company FSP number: _____

Number of pages in this section: _____ (excluding cover sheet)

Signed:	Dated:	/ /	