

To apply for a renewal of your AFA authorisation under the Financial Advisers Act 2008, please:

1. complete this application form and save it locally for your own future reference
2. arrange payment of the renewal application fee
3. print the completed form, sign it, scan it and email it to [renewals@fma.govt.nz](mailto:renewals@fma.govt.nz)
4. attach any associated documents to the email.

Please read the [AFA Authorisation Renewal Guide](#) and [AFA Authorisation Guide](#) which is available on the FMA website for more information on AFA renewals.

**I apply to the Financial Markets Authority (FMA) for renewal  
of my AFA authorisation**

<b>First name:</b>	
<b>Middle name:</b>	
<b>Last name:</b>	
<b>FSP number:</b>	
<b>FAS scope I am currently authorised to provide:</b>	<input type="text"/>
<b>Date of authorisation:</b>	dd/mm/yyyy
<b>Expiry of authorisation:</b>	dd/mm/yyyy
<b>Preferred daytime contact phone number:</b>	

Please select TRUE or FALSE for each statement. If you select **FALSE** for any statement, you must provide full details of the circumstances in the space provided.

### Registration and Authorisation

<b>1</b>	I remain registered on the Financial Service Providers Register.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		
<b>2</b>	I am not a disqualified person under section 14 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		
<b>3</b>	I am not debarred from applying for the renewal of my authorisation as an Authorised Financial Adviser.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		

### Criminal Convictions

<b>4</b>	I have not been convicted by a court in <b><u>New Zealand or overseas</u></b> of an offence punishable by imprisonment for a term of six (6) months or more.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details: <input type="text"/>		

### Good Character

Please read the AFA Authorisation Guide and in particular section 4 'Proof of Good Character' before completing the following statements. You must complete the declaration for each statement below in relation to both New Zealand and overseas jurisdictions.

<b>5a</b>	I am not aware of any matters that may have an adverse impact on the FMA's view of my character during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		
<b>5b</b>	I have never been dismissed or asked to resign from any position of employment or from a position of trust, fiduciary appointment or similar position during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		
<b>5c</b>	I have never been investigated, charged, disciplined, censured, suspended or criticised by a regulatory or professional body, court or tribunal during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details:		

Please select TRUE or FALSE for each statement. If you select **FALSE** for any statement, you must provide full details of the circumstances in the space provided.

<p><b>5d</b></p> <p>Details:</p>	<p>I have never been the subject of any disciplinary or criminal charges or dispute resolution matters or civil proceedings, including current or pending matters, during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5e</b></p> <p>Details:</p>	<p>I have never been, during the period of my authorisation:</p> <ul style="list-style-type: none"> <li>• a director of; or</li> <li>• a partner in; or</li> <li>• held any form of controlling equity ownership in; or</li> <li>• held a position of senior management in:</li> </ul> <p>any business which has gone into liquidation or receivership while I was connected to that organisation or within one year of that connection.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5f</b></p> <p>Details:</p>	<p>I have never been found to display a lack of willingness to comply with legal obligations, regulatory requirements or professional standards during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5g</b></p> <p>Details:</p>	<p>I have never been obstructive, misleading or untruthful in dealings with others during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5h</b></p> <p>Details:</p>	<p>I have never breached fiduciary obligations or other obligations involving trust during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5i</b></p> <p>Details:</p>	<p>I have never failed to deal appropriately with conflicts of interest during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5j</b></p> <p>Details:</p>	<p>I have never been involved in negligent, deceitful or otherwise discreditable business or professional practices during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>
<p><b>5k</b></p> <p>Details:</p>	<p>I have never failed to manage business or personal debts or financial affairs satisfactorily during the period of my authorisation.</p>	<p><input type="radio"/> TRUE <input type="radio"/> FALSE</p>

### Dispute Resolution Scheme (DRS)

<b>6</b>	I have not been the subject of a complaint lodged against me to my DRS or any of my employer's DRS during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details: <input type="text"/>		

### The Financial Advisers Act 2008

<b>7</b>	I have complied with all my obligations under the Financial Advisers Act 2008 during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details: <input type="text"/>		

### Terms and Conditions of Authorisation

<b>8</b>	I have complied with the terms and conditions of my authorisation during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details: <input type="text"/>		

### Minimum Professional standards for AFA in the Code

<b>9</b>	I have complied with the minimum professional standards for AFAs in the Code of Professional Conduct for Authorised Financial Advisers (Code) during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
Details: <input type="text"/>		

<b>10</b>	I have complied with the requirements of Code Standard 17 (professional development plan) and Code Standard 18 (continuing professional training) during the period of my authorisation.	<input type="radio"/> TRUE <input type="radio"/> FALSE
<b><i>Please Note: The FMA may ask you to provide appropriate records as evidence of your compliance with Code Standard 17 and Code Standard 18.</i></b>		
Details: <input type="text"/>		

### Add Financial Adviser Service (FAS) scope

I apply to vary my Authorisation to add a Financial Adviser Service (FAS) to my current FAS scope.  YES  NO

I have selected from the dropdown box below the FAS scope I wish to be authorised for.

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### Competence

Please read the FAS scope table on page 13 of the [AFA Authorisation Guide](#) to determine the competence requirements that you will require for the FAS scope you have selected.

The table sets out the Unit Standard Sets you need to meet the competence requirements for authorisation in each FAS scope. To assist you to understand the competence requirements please read [Code Standards 14 - 16 and Schedule G of the Code](#).

If you have already passed the Unit Standard Sets required for the FAS scope you have selected when you were first authorised, then you will not have to provide any further evidence that you meet the competence requirements for the FAS scope you have selected.

If you have not passed all of the Unit Standard Sets required for the FAS scope you have selected, you will need to provide evidence to the FMA that you have passed the outstanding Unit Standard Sets required.

The Code lists the qualifications and designations which are acceptable alternatives to certain Unit Standard sets which are listed in [Schedule G of the Code and defined in Schedule H](#). If you wish to rely on any of these alternative qualifications or designations you will need to attach them to this form when submitting your application. Section G of the Code describes what evidence of the qualifications is required to be submitted to the FMA.

### Documents to attach

If you have selected a FAS scope which requires you to meet new competence requirements, please attach copies of the evidence that shows you have passed the outstanding Unit Standard Sets and/or evidence of any alternative qualifications and designations that are required when you submit your application form. Please list the attached documents below.

Details:

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### Remove FAS scope

If you wish to remove a FAS scope from your authorisation please email the FMA at [afaapplications@fma.govt.nz](mailto:afaapplications@fma.govt.nz)

## Fee details

### Application fee payment

The renewal application fee is **\$572.44** including GST which is payable to the FMA. You can pay your fee via internet banking or in person at a Westpac branch.

### How to pay your fee:

#### Internet Banking

This is a guide for paying your renewal application fee by internet banking. If you need help, please contact your bank.

- Log into your personal internet banking website and select the option to set up a *bill payment*.
- Select the option to 'add a new bill payment', *add a new payee* and select **Financial Markets Authority** from the list of payees.
- To ensure your payment is allocated correctly, you must enter:  
**Particulars= FSP Number    Code= Name    Reference= AFA Renewal**
- Enter the full amount of the fee.

**Note:** Some mobile internet banking applications do not allow you to edit the reference field. If you make an error or entered wrong reference details please email [accountsreceivable@fma.govt.nz](mailto:accountsreceivable@fma.govt.nz) to ensure your payment is correctly allocated.

#### In person at a Westpac Branch:

#### You can pay by cash or cheque at Westpac branches with SmartATMs:

- Follow the step by step instructions and keep your receipt.
- FMA's bank account number: 03-0584-0198005-003
- To ensure your payment is allocated correctly, you must enter:  
**Particulars= FSP Number    Code= Name    Reference= AFA Renewal**
- **Please note that credit card payment is not yet available.**

## Confirmation

I confirm that I have paid the renewal application fee of \$572.44 to the FMA's bank account on

Select date

dd/mm/yyyy

## Confirmation and Declaration

### Confirmation

In submitting this application to the FMA I authorise the FMA to collect personal information from any person, including any New Zealand or overseas government agency or education provider (a Third Party) for the purpose of determining my eligibility to be authorised, including carrying out identity, good character, qualification, and criminal checks.

For that purpose I authorise the FMA to disclose personal information to the Third Party, and the Third Party to disclose personal information to the FMA.

Signature: \_\_\_\_\_

Dated \_\_\_\_\_

### Declaration

I \_\_\_\_\_  
*full name*

of \_\_\_\_\_  
*Town/city*

declare that all the information provided by me in this application to the FMA is true and correct to the best of my knowledge.

I acknowledge that knowingly making a false or misleading representation or omission or submitting a document that is not genuine, is a criminal offence under section 136 of the Financial Advisers Act punishable by a fine not exceeding \$100,000.

Declared: \_\_\_\_\_  
*Signature required*

Dated: \_\_\_\_\_