# Appendix 3 - Responsible Executive Application

Completing this application

This form must be completed for an application for approval as a Responsible Executive. Please read and follow all instructions.

If you need assistance with your application, please contact NZX Participant Compliance on compliance@nzx.com or +64 4 498 2279.

All information provided to NZX in relation to this application will be kept confidential, except to the extent that disclosure of any or all of the information provided is necessary for the exercise of NZX’s regulatory functions, or as required by law.

NZX reserves the right to decline an application even if it meets the prescribed minimum criteria.

Completed application forms (together with any supporting information) should be emailed to compliance@nzx.com or uploaded to the NZX Participant reporting platform.

Checklist

Please ensure that the following documentation and information has been provided:

 Application form has been completed and the undertaking signed by the Applicant

 Evidence of the Applicant’s qualifications

 Applicant’s CV outlining employment history and experience

 Details of any adverse or potentially adverse matters in relation to the Applicant which have been brought to the attention of any relevant regulatory authorities during the last 6 years

 Evidence of the Applicant’s integrity and high standard of business conduct, which may be via testimonials, references, referees

 Any other relevant information in relation to this application

Applicant Details

**Full name** *Include your first name, middle names and last name*

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**Contact details** *State your telephone number and email address*

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**Market Participant** *The name of the Market Participant that is appointing you as its Responsible Executive*

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**Broking Office** *State the address of the broking office you work in*

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**Qualifications** *Please provide details of your professional and educational qualifications and memberships of any professional bodies. Evidence of completion should be provided*

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**Experience and expertise** *Please provide a summary of your employment history and relevant experience. Details of any of the matters set out in Rule 3.4.3 should also be provided. Please include details of the numbers of years employed, the position, employer details and a summary of the role*

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Responsible Executive Undertaking

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(the **Responsible Executive**) confirm that:

* All of the information contained in this application and otherwise supplied is complete, true, accurate and not misleading
* I have read the relevant NZX Participant Rules and believe that this application conforms to the criteria (except as specifically notified to NZX with this application) for designation as a Responsible Executive
* As the Responsible Executive of the Market Participant I will take all necessary and reasonable steps to ensure that the Market Participant complies with the NZX Participant Rules, any directions issued from time to time by NZX that are applicable to the Market Participant and will at all times observe Good Broking Practice
* I am sufficiently qualified and experienced to fulfil the function of a Responsible Executive
* I am a fit and proper person without any history of dishonest or fraudulent activities
* I have not had any disciplinary action brought against me by any government and/or any regulatory authority
* I have not been declared a bankrupt by the High Court of New Zealand or any other overseas regulatory body
* I am of sound mind
* I have not been prohibited from being a director or partner of any body corporate or from acting in the management or conduct of its affairs
* I have not been found guilty of any breach of the provisions of the Securities Act 1978, Securities Markets Act 1988, the Financial Markets Conduct Act 2013, the Financial Advisers Act 2008, an offence under the Companies Acts 1993 or other companies or securities legislation in New Zealand or any other jurisdiction, or a crime involving dishonesty (as defined in Section 2(a) of the Crimes Act 1961)
* I have not been an officer, director or partner of a body corporate that has been ordered by the Court to be wound up or put in liquidation, in each case, while I was an officer, director or partner of the body corporate and
* I have not had any charges or disciplinary actions brought against me as a result of a breach of the NZX Participant Rules, or any NZX Rules, Regulations or Code of Practice

**Applicant Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_