# Appendix 14 - NZX Trainer Application

Completing this application

This form must be completed for an application to become an NZX Trainer. 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

 Undertaking has been signed by the Market Participant’s Managing Principal or Responsible Executive

 Evidence of the Applicant’s qualifications and professional memberships

 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 Applicants 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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**Market Participant** *State the name of the Market Participant that employs you*

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**Current position**  *Please provide details of your current position with the Market Participant that employs you*

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

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**Qualifications, experience and expertise** *Please provide details of your qualifications and a summary of your employment history and relevant experience, including details of the numbers of years employed, the position, employer details and a summary of the role. Please include information specifically relevant to the role of an NZX Trainer. Evidence of completion of training should be provided*

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NZX Trainer Undertaking

I, \_\_ (the **Applicant**) confirm that:

* All of the information contained in this application and supplied to NZX 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 an NZX Trainer
* I am a fit and proper person without any history of dishonest or fraudulent activities
* I agree to provide any additional information as requested by NZX for the purpose of reviewing my application for designation as a NZX Trainer
* I have undertaken the accreditation and training as required by the NZX Participant Rules
* I agree to undertake any additional accreditation and/or training as required from time to time by NZX and
* I agree to abide by all the NZX Participant Rules, any direction given from time to time by NZX as applicable to my position as a NZX Trainer and at all times observe Good Broking Practice

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

Market Participant Undertaking

As Managing Principal/Responsible Executive of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (the **Market Participant**), I confirm that the Market Participant supports this application and that:

* The Applicant has the relevant experience and has undertaken the required training to be an NZX Trainer
* The Applicant has demonstrated a thorough working knowledge of the NZX Participant Rules, Guidance Notes and directions given from time to time by NZX
* The Applicant has a working knowledge of the Trading System and NZX’s DMA requirements and
* The Applicant will undertake regular training to ensure ongoing compliance with the NZX Participant Rules, directions given by NZX from time to time, and Good Broking Practice

The Market Participant requests that the Applicant be designated as an NZX Trainer.

**Managing Principal/Responsible Executive Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_