# Appendix A – Monthly Internal Control Checklist

Completing this checklist

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

All information provided to NZX in relation to this checklist 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.

Completed checklists (together with any supporting information) should be emailed to compliance@nzx.com or uploaded to the NZX Participant reporting platform within 10 Business days of the end of each calendar month.

This checklist is required to be completed by all Market Participants Requiring Capital under NZX Participant Rules 19.3.2 and 20.14. Please respond Yes, No or Not Applicable and include details where relevant. For questions relating to notifications to NZX, please respond “N/A” if notifications were unnecessary.

### Name of Market Participant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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### Month ended: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The Market Participant confirms that:

|  |  |  |  |
| --- | --- | --- | --- |
| Rule | Internal Control Questions | Y, N, N/A | Comment |
| Sections 19 and 20 | Capital Adequacy and Monthly Reporting (all Market Participants Requiring Capital)  |  |  |
| 19.1.3 | Where an exemption is held from the NZX capital adequacy requirements, the Market Participant: 1. provided NZX with copies of any reports from the Alternative Regulator relating to the compliance or non-compliance with the requirements of the Alternative Regulator’s prudential supervision regime; and
2. notified NZX as soon as reasonable practicable after becoming aware that the Market Participant ceased to be subject to the regulation of an Alternative Regulator.
 |  |  |
| 19 | During this month, the Market Participant Requiring Capital has met the requirements of Rule 19 at all times (including at all times during each day). |  |  |
| 19.3.4 | The Market Participant notified NZX immediately (and as soon as reasonably practicable after becoming aware) that its Net Tangible Current Assets were less than 120% of its Prescribed Minimum Capital Adequacy. |  |  |
| 19 | The figures in the trial balance were in agreement with the general ledger. |  |  |
| 19 | The Capital Adequacy Calculations for each Business Day of the previous month were calculated according to the requirements of the Rules. |  |  |

CONFIRMATION

The Market Participant’s Managing Principal and Chief Financial Officer (or equivalent) confirm that the responses provided in the Internal Control Checklist are true and correct.

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

**Chief Financial Officer Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Date** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_