

# Registering as an NZ Registered Entity Financial Service Provider (FSP) (including the option of QFE status)

This is a step by step guide to the application for registration of a New Zealand Registered Entity on the FSPR, with the option of applying for QFE Status.

Last updated | 8 December 2011

## Applicant details

You are required to provide:

- The NZ registered entity's name or number. Use the search function to locate the entity from the NZ Companies Office register. Select the matching entity from the list that appears
- Any trading names for the business

### Applicant details

[\\*New Zealand registered entity search](#)

Select an Entity by entering either the name or the entity number below:

Some of the information about this entity and its directors is sourced from the Companies Office register. If any changes are made to the information held on that register, the Financial Service Providers Register will be updated the following day.

### Trading name

Please add all trading names

[?](#)

Trading name 1:

[+ ADD ANOTHER TRADING NAME](#)

**Please note** | NZ registered entity names and director names are sourced from the Companies Office register. If you find any information is not correct, you must update the Companies Office register first before continuing with your FSP application.

Addresses

One of the addresses for the financial service provider must be a physical address in New Zealand at which the Registrar may contact you.

\* Business address

Same as registered office

New address

Address search:

If the correct address is not found above, please enter the address manually,  
[Enter address manually](#)

\* Address for communication

Same as business address

New address

Email address

\* Email:

\* Confirm email:

## Addresses

You are required to provide:

- Business address
- Address for communication
- Email address

You can choose to use the registered office address that is held on the Companies Office register for your business address, or provide a new address.

**Tip** | If your address does not automatically appear, select the option to 'Enter address manually'.

**Annual confirmations**

Annual confirmation filing month

\* Filing month: ?

March

[Cancel](#) [Save & Exit](#)

**PROCEED TO FINANCIAL SERVICES**

## Annual Confirmations

- Select a month between February and November to file your annual confirmation each year
- At the bottom of each page you can:
  - ‘Cancel’ the application
  - ‘Save and Exit’ your application to continue at a later date
- Continue with your application by proceeding to the financial services page

## Financial services

If you are in the business of providing, or offering to provide, a financial service you will need to register as a financial service provider. Your application must notify the Registrar of ALL the financial services you provide. Please select the financial services you provide from the list below.

Deposit taker	<input type="checkbox"/>
Wholesale and/or generic financial adviser services	<input type="checkbox"/>
Broking services	<input type="checkbox"/>
Employer or principal of a financial adviser and/or Qualifying Financial Entity	<input type="checkbox"/>
Contributory mortgage broker	<input type="checkbox"/>
Issuing securities to the public	<input type="checkbox"/>
Trustee in respect of securities offered to the public	<input type="checkbox"/>
Unit trustee	<input type="checkbox"/>
Superannuation trustee	<input type="checkbox"/>
Statutory supervisor of participatory securities	<input type="checkbox"/>
Promoter of securities offered to the public	<input type="checkbox"/>
Manager of participatory security or unit trust	<input type="checkbox"/>
Insurer	<input type="checkbox"/>
Keeping, investing, administering, or managing money, securities, or investment portfolios on behalf of other persons	<input type="checkbox"/>
Credit provider	<input type="checkbox"/>
Money or value transfer service	<input type="checkbox"/>
Issuing and managing means of payment	<input type="checkbox"/>
Financial guarantees	<input type="checkbox"/>
Foreign currency exchange	<input type="checkbox"/>
Forward foreign exchange contracts	<input type="checkbox"/>
Entering into or trading on an exchange, in an over-the-counter market or otherwise, the following on behalf of another person	<input type="checkbox"/>
<ul style="list-style-type: none"><li>• money market instruments (including cheques, bills, certificates of deposits);</li><li>• foreign exchange;</li><li>• derivative products including, but not limited to, futures and options;</li><li>• interest rate and index instruments;</li><li>• transferable securities (including shares);</li><li>• futures contracts</li></ul>	


## Financial services you provide

- As a part of the application, you must notify the Registrar of ALL financial services the entity provides by selecting from the list
- You may only be in the business of providing the services for which you are registered
- Definitions of these services are available at:  
[www.fspr.govt.nz/help-support/financial-services-definitions](http://www.fspr.govt.nz/help-support/financial-services-definitions)

Dispute resolution scheme

**Dispute resolution scheme**

Financial service providers who provide a financial service to retail clients must belong to an approved consumer dispute resolution scheme. Please provide the details of your membership below.

\* Are you providing any financial services to retail clients? 

Yes  No

[I have joined a dispute resolution scheme in my own name](#)

\* Dispute resolution scheme:

-- Please select --

- Please select --
- Financial Services Complaints Limited
- Insurance & Savings Ombudsman Scheme
- Financial Dispute Resolution (the reserve scheme)
- Banking Ombudsman
- Exempt

[Save & Exit](#)

**PROCEED TO DIRECTORS**

For more information about Dispute Resolution Schemes go to:  
[www.fspr.govt.nz/about-the-fspr/dispute-resolution-schemes](http://www.fspr.govt.nz/about-the-fspr/dispute-resolution-schemes)


## Dispute Resolution Scheme

- Financial service providers who provide a financial service to retail clients must belong to an approved consumer dispute resolution scheme

## Additional information for the Financial Markets Authority

To allow FMA to assess whether your entity is eligible to be authorised, please complete the following.

### 1. Qualifying Financial Entities

\* Does your entity wish to apply to FMA to be granted Qualifying Financial Entity status (under s64 of the Financial Advisers Act 2008)? 

Yes  No

\* Does your entity have QFE Adviser Business Statement that has been reviewed by FMA?

Yes  No

For more information about obtaining QFE status visit:  
[www.fma.govt.nz](http://www.fma.govt.nz)

## Financial Markets Authority details

- If you indicated that the provider is an employer or principal of a financial adviser and/or Qualifying Financial Entity, you will be asked if you wish to apply for Qualifying Financial Entity (QFE) status
- If you wish to make an application for QFE status, the Financial Markets Authority should have reviewed your QFE Adviser Business Statement (ABS) before you register.

## Confirmation

I am authorised to, and do, confirm that, if granted Qualifying Financial Entity status, this entity will ensure that its financial advisers act with professionalism and integrity.

I am authorised to, and do, acknowledge that as a Qualifying Financial Entity, the entity is aware that it will be required to:

- comply with the requirements of the Financial Advisers Act 2008 and its regulations
- ensure compliance by its employees and nominated representatives with their financial adviser obligations under the Financial Advisers Act 2008 and its regulations, including, where applicable, the requirements set out in the Code of Professional Conduct for Authorised Financial Advisers
- act in accordance with its QFE terms and conditions set by the Financial Markets Authority (FMA)
- keep the QFE Adviser Business Statement up to date

\* [I Confirm]



FMA may ask for further information from your entity, or make additional enquiries related to the above in considering your application. FMA may also check the information that you have provided at a later date.

We will now process your registration as a financial service provider, but registration and the grant of QFE status are different.

Your entity will not be a Qualifying Financial Entity until you have received formal notification of the grant of that status from FMA.

Please note that a false or misleading declaration or representation made in, or in connection with, this application, or the use of a document that is not genuine, may be an offence under section 136 of the Financial Advisers Act 2008.

Offences are punishable by fines of up to \$300,000.

## Financial Markets Authority Confirmation

- If you choose to apply for QFE status you must confirm that the entity is aware of its responsibilities if granted QFE status.
- For more information about obtaining QFE status visit [www.fma.govt.nz](http://www.fma.govt.nz)

[Save & Exit](#)

PROCEED TO DIRECTORS



COMPANIES OFFICE  
FINANCIAL SERVICE PROVIDERS REGISTER

[www.fspr.govt.nz](http://www.fspr.govt.nz)

Jen SYKES



Individual

I am this Director

Additional information relating to directors is required.

Full legal name

First name:

Jen

Middle name:

Last name:

SYKES

\* Gender

\* Date of birth

 (dd/mm/yyyy)

Other names

Is this person (or was this person ever) known by any other name(s)? (E.g. maiden names or aliases)

- No  
 Yes

\* Residential address

33 Bowen Street, Wellington Central, Wellington

## Directors

- Director details are sourced from the Companies Office register automatically
- If the name or address details are not correct, the Companies Office register must be amended first, before the FSPR information can be updated
- Additional information about directors is required for the purpose of completing criminal history checks:
  - Gender
  - Date of birth
  - Any previous names or aliases

# Controlling owners

- Controlling owners are defined in section 4 of the FSP Act.
- To add a controlling owner, click on the blue button 'Add Owner'
- The types of controlling owners you can add are:
  - Individual, or
  - NZ registered entity, or
  - Other entity
- In the case of a family trust, you must name all of the individual trustees

Controlling owners

+ ADD OWNER

There are no controlling owners entered

Controlling owners

Controlling owner 1

+ ADD OWNER

NZ registered entity

Individual

NZ registered entity [Registered entity search](#)

Other entity

Select an Entity by entering either the name or the entity number below:

Some of the information about this entity and its directors is sourced from the Companies Office register. If any changes are made to the information held on that register, the Financial Service Providers Register will be updated the following day.

[Remove controlling owner](#)

Senior managers

+ ADD MANAGER

There are no senior managers entered

## Senior managers

- Senior managers are defined in section 4 of the FSP Act.
- If you have a senior manager, you must provide their:
  - Full legal name
  - Gender
  - Date of Birth
  - Previous names or aliases
  - Residential address

Senior managers

Senior manager 1

+ ADD MANAGER

Full legal name

First name:

Middle name:

Last name:

\* Gender

\* Date of birth

Other names  
 Is this person (or was this person ever) known by any other name(s)? (E.g. maiden names or aliases)

No  
 Yes

\* Residential address

Address search:

If the correct address is not found above, please enter the address manually,  
[Enter address manually](#)

[Remove senior manager](#)

## Register FSP (NZ Entity) Test Company 4 Limited (FSP19575)

SHOW ALL | ▶

HIDE ALL | ▼

## FSP details FSP19575 Test Company 4 Limited

▼ Hide

Application Id: FSP19575  
Application status: Pending  
Date of creation: 12-07-2011  
Last updated date: 12-07-2011  
Date of deletion: 23-08-2011

Please note that a pending application will be automatically deleted if it has not yet been submitted on or before the date above

## General details

▼ Show



## Financial services

▼ Show



## Financial Markets Authority

▼ Show



## Directors

▼ Show



## Controlling owners

▼ Show

## Senior managers

▼ Show

## Disqualification declaration

PLEASE READ THE DECLARATION AND CONFIRM

(NOT CONFIRMED)

[Save & Exit](#)

## Review Screen

- Check all the information provided is correct by using the 'Show' links and buttons
- Blue ticks indicate you have completed all fields correct
- An orange triangle means you have left out some mandatory information that must be completed before continuing
- You must read and confirm the Disqualification declaration

## Declaration details

### Section 14 – Financial Service Providers Act 2008

An entity is disqualified from registration as a financial service provider if any of its directors, senior managers or controlling owners are:

- an un-discharged bankrupt;
- a person prohibited from being a director or promoter of, or concerned in the management of, an incorporated or unincorporated body under the Companies Act 1993, the Securities Act 1978, the Securities Markets Act 1988, or the Takeovers Act 1993;
- a person subject to a management banning order under the Securities Act 1978, the Securities Markets Act 1988, the Takeovers Act 1993, or subject to an order under section 108 of the Credit Contracts and Consumer Finance Act 2003;
- a person who has been convicted of an offence against section 11, 12, or 41 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008 within the past 5 years;
- a person who has been convicted of an offence under sections 217 to 266 of the Crimes Act 1961 within the past 5 years;
- a person who has been convicted of a money laundering offence or an offence relating to the financing of terrorism;
- a person who is subject to a confiscation order under the Proceeds of Crime Act 1991.

I confirm that:

I have been authorised by the named applicant to complete this application on their behalf, and have made all necessary enquiries to ensure the applicant is not disqualified from registration as a financial service provider and that the information contained in this application is true and correct.  Confirm

I confirm the financial service provider named in this application is not disqualified from registering as a financial service provider by reason of any of the matters set out above. I understand that knowingly making a false or misleading representation or omission is a criminal offence under section 41 of the Act.  Confirm

Please note that checks will be carried out to identify that the information you have provided is correct, including that the applicant is not disqualified from registration by reason of any of the grounds set out in section 14 of the Financial Service Providers Act 2008. A criminal history check will be carried out on any individual directors, senior managers and controlling owners, and their details will be forwarded to the Ministry of Justice for that purpose. Knowingly making a false or misleading representation or omission is a criminal offence under section 41 of the Act punishable imprisonment for a term not exceeding 2 years or to a fine not exceeding \$100,000 or to both.

[Cancel](#)

CONTINUE

## Disqualification declaration

- Confirm you have authority to make this application
- Confirm that the entity is not disqualified from registration as a financial service provider as set out in section 14 of the Financial Service Providers Act 2008
- 'Continue' and submit the application to make your payment
- On completion of payment you will receive an email confirming that the FSPR has received the application

## Help and Support

- If you require assistance with your application you can contact the FSPR on:
  - 0508 FSPR INFO (0508 377 746)
  - [info@fspr.govt.nz](mailto:info@fspr.govt.nz)