

Director Application

What is your member number?

Applicant Details (to be completed by the applicant)

What is your gender?

Male Female

What is your date of birth?

 / /

What is your name?

FIRST NAMES

LAST NAME

Previous name/s if any

FIRST NAMES

LAST NAME

What is your email address and daytime phone number?

EMAIL

PHONE []

What is your residential address?

STREET NUMBER & NAME

SUBURB

TOWN OR CITY

POSTCODE

IRS TIN (required if you are a specified US person)

Professional details

I have provided:

- a curriculum vitae with full details of my professional background in appendix 2
 original/certified copies of identification and address verification as outlined in appendix 3

Directors and Senior Officers Suitability Declaration

Please select YES or NO for each question

If any answer is YES, you must provide full details in Appendix 1 to this form.

You must answer each question in relation to both New Zealand and/or other jurisdictions.

All answers will cover the period from either your previous declaration, a previous notified event or the suitability assessment at the commencement of your role, if you recently commenced employment at FCU.

<p>Suitability Concern Number 1.</p>	<p>Are you currently, or have you been, a debtor, defendant, or respondent in any of the following:</p> <ul style="list-style-type: none"> • a bankruptcy proceeding; or • a proceeding for a judgment debt (which, in this paragraph, means an amount for which judgment is entered or for which an order of a court is made in any civil proceedings); or • any creditors' composition, proposal to creditors, order or arrangement to pay debts, no asset procedure, or other bankruptcy or personal insolvency arrangement or procedure? 	<p><input type="radio"/> Yes <input type="radio"/> No</p>
<p>Suitability Concern Number 2.</p>	<p>Have you been a director or senior officer of an entity, or has otherwise exercised significant influence over the management or administration of an entity, at a time within 7 years before:</p> <ul style="list-style-type: none"> • the entity made an offer to holders of debt securities issued by the entity to replace those securities, wholly or in part, with equity securities transferred by the entity to those holders; or • the entity entered into any moratorium proposal, voluntary administration, receivership, judicial management, statutory management, or liquidation; or • the entity was otherwise wound up, or dissolved, due to insolvency? 	<p><input type="radio"/> Yes <input type="radio"/> No</p>
<p>Suitability Concern Number 3.</p>	<p>Have you, at any time, been convicted of a criminal offence, or (by being charged with the offence or otherwise) made subject to a criminal prosecution:</p> <ul style="list-style-type: none"> • for a criminal offence of a kind that could result in a conviction and criminal record; and • that was not, or has not yet been, withdrawn, dismissed, or stayed, before being finally determined; and • that did not result, or has not yet resulted, in the person being acquitted or discharged without a conviction? 	<p><input type="radio"/> Yes <input type="radio"/> No</p>
<p>Suitability Concern Number 4.</p>	<p>Are you, or have you been, the subject of any investigation or adverse admissions or findings made, or disciplinary or regulatory action taken:</p> <ul style="list-style-type: none"> • in respect of your engagement in a profession or an occupation; and • by or to an authority with disciplinary or regulatory functions in respect of you engaging in that profession or occupation? 	<p><input type="radio"/> Yes <input type="radio"/> No</p>
<p>Suitability Concern Number 5.</p>	<p>Have you or, as the case may be, an entity to which you're associated is or has been the subject of any investigation or adverse admissions or findings made, or disciplinary or regulatory action taken:</p> <ul style="list-style-type: none"> • in respect of your participation in that market or, as the case may be, in respect of the entity's participation in that market at a time or times when you were a director or senior officer, or otherwise exercised significant influence over the management or administration, of the entity; and 	<p><input type="radio"/> Yes <input type="radio"/> No</p>

Appendix 1- Additional Disclosures

If you answered "YES" to any of the Suitability Concerns outlined on your Directors and Senior Officers Suitability Declaration, please provide full and frank details to the best of your knowledge as below:

Suitability Concern Number 1.	
Suitability Concern Number 2.	
Suitability Concern Number 3.	
Suitability Concern Number 4.	
Suitability Concern Number 5.	

Appendix 2 - Curriculum Vitae

<p>Directorships</p>	<p>Please give brief details of any directorships you hold/have held – with a description of the nature of each company's business and the dates of your directorship.</p>
<p>Employment history</p>	<p>Please give brief details of your employment history – include employer name, role title, description of job, dates of the role, and note if it was overseas (name country).</p>
<p>Qualifications</p>	<p>Please give brief details of your qualifications – including a description of the qualification, the date it was attained and the institution that granted the qualification.</p>
<p>Professional memberships</p>	<p>Please give brief details of any professional body memberships you hold/or have held – including the name of the organisation and the dates of your membership.</p>
<p>Professional development</p>	<p>Please give brief details of other information, such as professional training courses or study, that highlight your expertise or competence appropriate to your role in the licensed business.</p>

Appendix 3 - Member Identification and Address Certification

Required:

1. One form of address verification, AND
2. Either:
 - * One original or certified form of Identification from Category A, OR
 - * One original or certified form of Identification from Category B, OR
 - * One original or certified form of identification from Category C

Address Verification

Obtaining

- A bank statement issued by a registered bank to the person in the past 12 months
- A statement issued by a government agency to the person in the past 12 months
- Utility bill/statement issued to the person in the past 12 months
- Rates/council notice issued to the person in the past 12 months
- Rental tenancy agreement issued to the person in the past 12 months
- Electronic search of white or yellow pages issued in the past 12 months

Identity Verification

Category A

Passport that contains name, date of birth, a photograph, and signature of the person in whose name the document is issued.

National identity card issued by foreign government, United Nations or United Nations agency that contains the name, date of birth, a photograph, and signature of the person in whose name the document is issued.

Category B

New Zealand full birth certificate, or a full birth certificate issued by a foreign government in combination with a secondary or supporting form of photographic identification, for example a New Zealand driver licence.

Category C

A New Zealand driver licence, and one of the following:

- An embossed credit card, debit card or EFTPOS card issued by a New Zealand registered bank that contains the person's name and signature; or
- A bank statement (no older than 12 months) issued by a registered bank that contains the recipient's name and address; or
- SuperGold Card

The verification document must be certified by a referee such as a solicitor, justice of the peace or chartered accountant or other trusted referees as defined in the Act. The trusted referee must sight the original documentary identification and make a statement to the effect that the documents provided are a true copy and represent the identity of the named individual. This certification must contain the name, occupation and signature of the trusted referee and the date of the certification. Certification must be carried out in the three months preceding the presentation of the copied documents.

In addition, the trusted referee must not be related to the member, including the spouse or partner, a person living at the same address or a person involved in the transaction or business requiring the certification.