



Membership application form



Thank you for your interest in becoming a member of Financial Dispute Resolution Service

Is applicant applying for membership for:

Group service provider Individual Organisation FSPR number _____

Applicant's details

Legal name of applicant _____

Trading name (if applicable) _____

Registered company number (if applicable) _____ Country of origin (if overseas organisation) _____

Is the applicant providing a financial service from a place of business in New Zealand? Yes No

Does the applicant currently have New Zealand customers? Yes No

Address and contact details

Place of business (New Zealand)

Street _____ Suburb _____

City _____ Post code _____

Address for communication

As above or;

PO Box or Street _____ Suburb _____

City _____ Post code _____

Country _____

Email _____

Website _____ Mobile _____

Telephone _____

We will publish the applicant's name, trading name, city, telephone (as above) and website address on the FDRS website.

Preferred contact details for membership/invoicing (if different from above)

Title _____ First name _____ Last name _____

Email _____

Telephone _____

Mobile _____

Preferred contact details for complaints

As above

Title _____ First name _____ Last name _____

Email _____ Telephone _____

Mobile _____

Industry associations

Is the applicant a member of an industry association? Yes No

If "Yes", please list the name(s) of the association(s) that the applicant belongs to:

Financial services and related information

Qualifying financial entity (QFE)

Has the applicant applied, or is it intending to apply, to become a QFE? Yes No

If yes - how many QFE Advisers will be covered by the application? _____

Advisers

How many Authorised Financial Advisers will be covered by this application? _____

How many Registered Advisers will be covered by this application? _____

A separate application form is required for advisers who are not exempt from the requirement to separately be members of a dispute resolution scheme under section 20e of the Financial Advisers Act 2008.

Employees and exempt advisers

How many employees and exempt advisers will be covered by this application? _____

Please indicate the financial services that are to be covered by this application and answer, if applicable, the related questions

- An insurer
- Non-bank deposit taker \$_____ (million)
- Being a creditor under a credit contract \$_____ (million)
- Peer-to-peer lending service \$_____ (million)
- Providing a crowd funding service \$_____ (million)

- Registered bank \$_____ (million)
- Employer or principal of a financial adviser
- Financial adviser (please select from the following):
- Mortgage Insurance Investment Financial planning Other
- Wholesale and/or generic financial advice
- Broking service (including a custodial service)
- Acting as an issuer for regulated products or financial products offered under an FMC offer
- Participating in an FMC offer as an issuer or offeror of financial products
- Supervisor of registered scheme
- Supervisor of a regulated offer of debt securities (please select from the following):
- Unit trustee Kiwisaver trustee Statutory supervisor of participatory securities
- Manager of registered scheme (other than restricted scheme)
- Independent trustee of restricted scheme
- Keeping, investing, administering, or managing money, securities, or investment portfolios on behalf of other persons
- Operating a money or value transfer service
- Issuing and managing means of payment
- Giving financial guarantees
- Changing foreign currency
- Acting as an investment manager for a registered scheme
- Operator of financial product market
- Custodian of restricted scheme
- Custodian of DIMS licensee
- DIMS provider
- Derivatives issuer
- Trading financial products or foreign exchange on behalf of other persons. Including:
- money market instruments including cheques, bills, certificates of deposits
 - foreign exchange including forward foreign exchange contracts
 - derivative products including, but not limited to, futures and options
 - exchange rate and interest rate instruments, including products such as swaps and forward rate agreements
 - transferable securities

- other negotiable instruments and financial assets.

Remedial action details

Does the applicant have any outstanding remedial actions required of them under other dispute resolution scheme(s)? Yes No

If yes, please provide the name(s) of the other dispute resolution scheme(s)

Confirmations and acknowledgements

Please confirm and acknowledge the following statements. By signing this application form the applicant:

- confirms that the contents of this application are correct and not misleading and that the applicant has disclosed all information relevant to its application.
- agrees, if granted membership:
 - (a) to comply with its obligations under the Financial Service Providers (Registration and Dispute Resolution) Act 2008, the Financial Dispute Resolution Scheme ("Scheme") rules and the Scheme Fees rules;
 - (b) to comply with any binding resolution of a complaint under the Scheme, whether or not still a member of the Scheme at the time of the complaint or resolution;
 - (c) that, for the purposes of the Contracts Privity Act 1982, its customers may directly enforce any binding resolution of a complaint, against it; and
 - (d) that the Scheme is governed by the laws of New Zealand and that it will submit to the non-exclusive jurisdiction of the New Zealand courts in respect of all matters relating to its membership of the Scheme.
- if a group service provider, confirms it has the authority of its individual/associate members to provide and operate their internal complaints process and external dispute resolution scheme.
- confirms it will notify Financial Dispute Resolution Scheme if any QFE Adviser, Registered Financial Adviser or Authorised Financial Adviser becomes, or ceases to be covered by this application (a group service provider (if any) may provide notice on behalf of an applicant).
- acknowledges that information about it may be disclosed in accordance with the Scheme rules.

Signature of authorised signatory _____ Date _____

Name of authorised signatory _____ Date _____

Fees

No fee is payable until your application for membership is accepted. If your application is accepted, we will notify you and your membership will then become effective when your membership fee is paid.

Send your completed Application Form (and Schedule if appropriate) to enquiries@fdrs.org.nz or fax +64 4 918 4901. **Please do call one of us on 0508 337 337** if you have any questions or require any assistance.