

Important

This application only applies if you are NOT involved in the process of providing financial advice such as investment advice, insurance advice, and financial planning.
– i.e. you don't give financial advice in the course of your daily work.

If you do provide financial advice in the course of your daily work and/or are involved the process of providing financial advice then you should complete the application for *Practitioner Membership* instead.
(available under the Library : Forms and Documents section of www.ifa.org.nz)



APPLICATION FOR AFFILIATE MEMBERSHIP 2010 - 2011

I wish to apply for Affiliate membership of the Institute of Financial Advisers.

Please indicate which Branch of the Institute you select to belong to (✓ appropriate box), this is generally the closest to your location.

- | | | |
|---|--|-------------------------------------|
| <input type="checkbox"/> AUCKLAND / NORTHLAND | <input type="checkbox"/> HAWKE'S BAY / POVERTY BAY | <input type="checkbox"/> TASMAN |
| <input type="checkbox"/> BAY OF PLENTY | <input type="checkbox"/> OTAGO | <input type="checkbox"/> WAIRARAPA |
| <input type="checkbox"/> CANTERBURY | <input type="checkbox"/> SOUTHLAND | <input type="checkbox"/> WAIKATO |
| <input type="checkbox"/> CENTRAL REGION | <input type="checkbox"/> TARANAKI | <input type="checkbox"/> WELLINGTON |

PERSONAL DETAILS (Please print details clearly)

SURNAME _____ TITLE _____

FIRST NAME/S _____ KNOWN AS _____

COMPANY/ BUSINESS NAME _____

POSITION _____ GROUP AFFILIATION (e.g. AXA, AMP) _____

POSTAL ADDRESS (PO BOX) _____

_____ POST CODE _____

BUS TELEPHONE _____ FAX _____

MOBILE _____ PRIVATE TELEPHONE (optional) _____

EMAIL _____ WEBSITE _____

Please tick if you do not wish to receive email correspondence from the Institute of Financial Advisers.

SIGNATURES REQUIRED (your membership application must be supported by references from one member of the Institute and one external referee).

Please note we will contact at least one of your referees.

Member Referee _____ Signed _____

Relationship to applicant _____ Daytime Telephone Number _____

Independent Referee _____ Signed _____

Relationship to applicant _____ Daytime Telephone Number _____

GENERAL QUESTIONS (Please answer all questions)

- Have you ever been denied, or had suspended or revoked, or is there pending any proceeding to deny, suspend or revoke any license or registration to practice any profession, occupation or vocation Yes No
- Have you ever been refused professional or other indemnity insurance Yes No
- Have you ever been disciplined or dismissed by a professional organisation or employer on ethical or legal grounds Yes No
- Have you, or any firm with which you were associated ever been subject to legal action, reparation or arbitration proceedings relative to performance or lack of performance of duties of a financial nature, dishonesty or fraud Yes No
 - If you answered **YES** to the previous question, and it was a firm with which you were associated, were you an Officer, Director, Shareholder, Owner, Partner or registered principal of the firm Yes No
- Have you ever been convicted of, or pleaded guilty to any criminal convictions, other than minor traffic violations Yes No
- Are you now, or have you ever been bankrupt, whether declared or not Yes No
- Have you ever been a Director, Owner or Manager of a business that has been insolvent Yes No
- Have you ever been an Officer of a company ordered wound up by the Court Yes No
- Are you aware of any matters that may impact upon the Institute's consideration of your application Yes No
- Have you or any firm you have been associated with, ever been refused an agency agreement or had an agency agreement revoked Yes No

If you answered YES to any of the above, please provide details: _____

- Are you, or have you previously been, a member of a professional association/organisation in New Zealand or overseas and had a complaint upheld against you (including the IFA and its forerunner bodies) Yes No
If **yes**, please provide full details:

- Have you previously been declined entry to a professional association/organisation in New Zealand or overseas (including the IFA and its forerunner bodies) Yes No
If **yes**, please provide full details:

- Are you involved in the process of providing financial advice e.g. investment advice, insurance advice, financial planning Yes No

If you answered YES to the above question, you should be applying for Practitioner Membership not Affiliate Membership.

