



NZFMA Regulatory Training Workshop

Wellington – 3 May | Auckland – 5 May

Earn 2 CPD Hours

The New Zealand Financial Markets Association is pleased to provide these Workshops.

- Simon Jensen (Consultant), Emma Geard (Senior Solicitor) and Michelle Tustin (Solicitor) will provide an overview of:
 - The following legal obligations:
 - Parts 2, 5 and subpart 5A of part 6 of the FMCA
 - Protected Disclosures Act 2000 (and new upcoming bill)
 - KYC obligations under the AML/CFT Act
 - Prohibitions on cartel conduct in the Commerce Act 1986
 - The following best practice standards that traders should strive to uphold:
 - NZFMA Code of Conduct and Ethics
 - FMA Code of Professional Conduct for financial advice services
 - FX Global Code
 - Core principles from legal obligations that apply when dealing with retail clients (such as COFI and the retail obligations under FSLAA)
- The overview will include the purpose and features of each obligation/standard and how it can be used in practice for financial advisers. Re-enforcement of knowledge and participation will be gained through group discussions.

To register, please complete this form and return to NZFMA: education@nzfma.org

Please select City/Date/Time ☐ **Wellington** – Tuesday 3 May 2022 – 10:00am to 12 noon ☐ **Auckland** – Thursday 5 May 2022 – 10:00am to 12 noon
☐ **Wellington** – Tuesday 3 May 2022 – 1:00pm to 3:00pm ☐ **Auckland** – Thursday 5 May 2022 – 1:00pm to 3:00pm

Venues: **Wellington** – Buddle Findlay, Aon Centre, Level 17, 1 Willis Street | **Auckland** – Buddle Findlay, PWC Tower, Level 18, 188 Quay Street

NZFMA thanks Buddle Findlay for providing training rooms for these workshops

Personal Details:

First name _____ Last name _____
Company _____ Position _____
Address _____ City _____ Postcode _____
Telephone (work) _____ Email _____

Registration Fee	NZFMA Member NZ\$120.00	Non-member	NZ\$270.00
	GST NZ\$ 18.00	GST	NZ\$ 40.50
	Member fee NZ\$138.00	Non-member fee	NZ\$310.50

Priority is given to NZFMA members

Method of Payment

GST No. 97-677-972

- ☐ Direct credit to bank account number 03 0502 0836203 01 Account Name: New Zealand Financial Markets Assn | Bank: Westpac | Branch: Lambton Quay
- ☐ Please invoice my employer as detailed above (NZFMA Member Organisations only)
- ☐ Visa or Mastercard _____ Exp ___/___ Security Code _____

Terms and Conditions

Payment terms:

- For NZFMA members, invoices are issued upon registration and are payable by 20th of the month following invoice date.
- For non-NZFMA members, registrations are only confirmed following receipt of full payment.

Cancellation, Transfers & Non-attendance:

- Cancellations advised to NZFMA at least 10 days prior to the course date will be refunded in full.
- No refunds will be provided for cancellations received outside the above notice period.
- Substitutions can be made, with prior notification to NZFMA, at any time up to the program start date. No penalty will apply.
- If a registrant fails to attend the workshop, course fees will not be refunded or transferred to a future course.

General:

- NZFMA reserves the right to cancel, postpone or re-schedule workshops due to low enrolments or unforeseen circumstances. Full refunds or transfers will be provided in this instance.
- NZFMA is not liable for any costs incurred by the registrant if the workshop is cancelled or postponed.
- NZFMA reserves the right to change course fees, dates, venues, content, presenters and/or method of presentation at its discretion.
- The information in this flyer was correct at the time of publication but may be subject to change.

Privacy Policy:

All personal information collected by NZFMA is protected by the Privacy Act 1993. Information collected on this registration form is for the purposes of processing registrations and creating and maintaining student records. Information will not be disclosed to third parties except where authorised or required by law.

New Zealand Financial Markets Association

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