

CFA SOCIETY NEW ZEALAND MEMBER PROFESSIONAL CONDUCT STATEMENT

Please answer the following questions by marking the appropriate response for each. Any matter described in the questions below must be disclosed, even if the matter is still pending.

In the last two years, have you been the subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?	<input type="checkbox"/> No
	<input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded
In the last two years, have you been the subject of, a defendant in, or respondent to any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?	<input type="checkbox"/> No
	<input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded
In the last two years, have you been temporarily or permanently suspended, barred, banned, or otherwise prevented from: (i) working or participating in the securities industry; (ii) trading on any securities or contract market; (iii) acting as a broker, dealer, investment advisor, or other person required to register under any law or regulation; or (iv) acting as an employee; registered representative; or affiliated person of any entity required to register or be licensed under any law or regulation (ie, investment company, bank, etc.)?	<input type="checkbox"/> No
	<input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded
In the last two years, have you ever been found to have aided, abetted, counselled, commanded, induced, or procured the violation of any securities- or commodities-related law, regulation, or rule?	<input type="checkbox"/> No
	<input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded
In the last two years, have you been convicted of or pled guilty to: (i) any crime defined as a felony or punishable by more than one year in prison (regardless of the sentence actually imposed), or (ii) any crime involving moral turpitude (fraud, lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?	<input type="checkbox"/> No
	<input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand
	<input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded

The above responses and all information provided by me on this Professional Conduct Statement are truthful, accurate, and complete, and I agree to notify CFA Society of New Zealand promptly of any material changes required in my responses to the foregoing questions. I acknowledge and understand that failure to comply with these is grounds for disciplinary action against me and that failure to cooperate with any CFA Society of New Zealand investigation of my conduct is grounds for membership suspension.

By signing this document, I hereby acknowledge that I have read and understand the document in its entirety and agree with all the above.

Name: _____ Date: _____

Signature: _____