

UniMed Fit and Proper Attestation of person filling a Key Role

Name of person (including any previous names)	
Residential Address	
Date of Birth	

Note: You do not need to answer yes if the conviction is eligible for concealment under the Criminal Records (Clean Slate) Act 2004.

I do hereby solemnly and sincerely make the following attestation:

- I currently hold, or contemplate holding, a key position of responsibility for UniMed.
- I am aware of and understand the provisions of the Fit and Proper Policy of UniMed, for whom I hold, or contemplate holding, a key position of responsibility.
- The list of the competencies required for my current, or contemplated role has been clearly documented, is attached hereto in the Position Description and is correct.

Relative to carrying out the duties involved in the role in question:

- I believe that I have the character, competence and experience necessary;
- I believe that I have the necessary skills, knowledge, expertise, diligence, and soundness of judgement to undertake and fulfil the particular duties and responsibilities; and
- I believe that I have demonstrated (or will demonstrate) the appropriate competence and integrity in fulfilling occupational, managerial or profession responsibilities previously and / or in the conduct of current duties.

I confirm that, to the best of my knowledge, I have not:

- Demonstrated a lack of willingness to comply with legal obligations, regulatory requirements or professional standards or have been obstructive, misleading or untruthful in dealing with regulatory bodies or a court;
- Breached a fiduciary obligation;
- Perpetrated or participated in negligent, deceitful, or otherwise discreditable business or professional practices;
- Been reprimanded, disqualified, or removed by a professional regulatory body in relation to matters relating to my honesty, integrity, or business conduct;
- Seriously or persistently failed to manage personal debts of financial affairs satisfactorily in circumstances where such failure caused loss to others;
- Been substantially involved in the management of a business or company which has failed, where that failure has been occasioned in part by deficiencies in that management;
- Been held in bad repute by any business, financial community or market;
- Been the subject of civil or criminal proceedings or enforcement action, in relation to the management of an entity, or commercial or professional activities, which were determined to have reflected adversely on my competence, diligence, judgement, honesty, or integrity.

- I confirm I am not disqualified, to the best of my knowledge, under any applicable legislation from holding the position;
- I confirm I have no conflict of interest in performing the duties of the role;
- I consent to the general assessment of my fitness and propriety to hold a key person of responsibility for UniMed at the current time and to be reassessed in future;
- I consent to UniMed applying for and using a criminal record and / or credit check in carrying out the assessment of my fitness and propriety to hold a key position of responsibility, if considered necessary;
- I confirm that I will not continue to hold nor accept appointment to a key position of responsibility for UniMed for which I am assessed not fit and proper;
- I consent to UniMed providing to the RBNZ such information as may be required in terms of current prudential standards regarding responsible persons and the assessment of my fitness and propriety.

UniMed supplementary FMA attestation for Directors and Senior Managers

Have you ever been convicted of a criminal offence relating to:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ dishonesty ▪ fraud, or ▪ misleading or deceptive conduct 	<p>Yes</p> <p>No</p>	

Have you ever been the subject of a civil or criminal proceeding, or any action or decision taken or made by the:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ FMA ▪ Commerce Commission ▪ Registrar of Companies ▪ Registrar of Financial Service Providers ▪ Reserve Bank of New Zealand ▪ Takeovers Panel ▪ Serious Fraud Office ▪ Department of Internal Affairs ▪ NZX Limited, or ▪ any of their predecessors, successors or overseas equivalents <p>which resulted in you:</p> <ul style="list-style-type: none"> ▪ being found guilty or liable, or having a penalty or order imposed against you ▪ having a licence or authorisation declined, suspended or cancelled (in any profession, role or industry), or ▪ being banned from participating in, or refused entry to any profession, role or industry 	<p>Yes</p> <p>No</p>	

Have you ever been a Director or Senior Manager for an entity at a time the entity was the subject of a civil or criminal proceeding, action or decision taken or made by the:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ FMA ▪ Commerce Commission ▪ Registrar of Companies ▪ Registrar of Financial Service Providers ▪ Reserve Bank of New Zealand ▪ Takeovers Panel ▪ Serious Fraud Office ▪ Department of Internal Affairs ▪ NZX Limited, or ▪ any of their predecessors, successors or overseas equivalents <p>which resulted in the entity:</p> <ul style="list-style-type: none"> ▪ being found guilty or liable, or having a penalty or order imposed against it ▪ having a licence or authorisation declined, suspended or cancelled (in any profession, role or industry), or ▪ being banned from participating in, or refused entry to any profession, role or industry 	<p>Yes</p> <p>No</p>	

Has the:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ FMA ▪ Commerce Commission ▪ Registrar of Companies ▪ Registrar of Financial Service Providers ▪ Reserve Bank of New Zealand ▪ Takeovers Panel ▪ Serious Fraud Office ▪ Department of Internal Affairs ▪ NZX Limited, or ▪ any of their predecessors, successors or overseas equivalents <p>ever issued a warning about or to:</p> <ul style="list-style-type: none"> ▪ you: or ▪ an entity where you were employed as a director or senior manager at the time the warning was issued or when any event relating to the issue or warning occurred 	<p>Yes</p> <p>No</p>	

Are you currently the subject of any investigation (or charges) for criminal offending relating to:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ dishonesty ▪ fraud, or ▪ misleading or deceptive conduct 	<p>Yes</p> <p>No</p>	

Are you currently the subject of any investigation or proceedings (or decided) by the:	Please select	If yes, please provide details
<ul style="list-style-type: none"> ▪ FMA ▪ Commerce Commission ▪ Registrar of Companies ▪ Registrar of Financial Service Providers ▪ Reserve Bank of New Zealand ▪ Takeovers Panel ▪ Serious Fraud Office ▪ Department of Internal Affairs ▪ NZX Limited, or any of their predecessors, successors or overseas equivalents 	<p>Yes</p> <p>No</p>	

Have you ever been:	Please select	If yes, please provide details
<ul style="list-style-type: none"> • dismissed • asked to resign, or • been subject to disciplinary proceedings resulting from, or in respect of, a position of trust, fiduciary appointment, or similar (in New Zealand or overseas) 	<p>Yes</p> <p>No</p>	

Signed	
Date	

Privacy and Consent Statement

By signing this form, you consent to the collection, use, and storage of your personal information for the purpose of assessing your fitness and propriety for this role. Your information will be handled in accordance with the Privacy Act 2020, stored securely, and may be shared with regulatory authorities if required. You have the right to access and request correction of your information at any time.

Authorisation for Background Checks

By signing this form, you authorise us to carry out relevant background checks, including but not limited to credit checks and criminal history checks, as part of the fit and proper assessment process.