

**APPENDIX 5**

**CERTIFICATE OF COMPLIANCE**

**PURSUANT TO SECTION 44 OF  
THE INVESTMENT BUSINESS ACT 2003**

With reference to the investment business licence/registration granted to:

.....  
under the Investment Business Act 2003 (the "Act").

I/We ..... [name(s) and position(s)] as officer(s) of the  
investment provider hereby confirm that during the financial year ended .....  
the business of the licence/registration holder has, to the best of my/our knowledge and belief, been  
conducted in accordance with:

- (a) the minimum licensing and registration criteria in the Act, and
- (b) the licence/registration limitations imposed pursuant to section 17(3) / 17B(2) of the Act.

with the exception of the matters detailed below:

Signature(s): ..... Date(s) : .....

Every investment provider shall, within 4 months from the end of its financial year, deliver to the Authority a certificate of compliance. Any investment provider that fails to deliver a certificate as required within the time specified shall be liable to a civil penalty not exceeding \$5,000 for each week or part of a week that the investment provider is in default.