INVESTOR APPLICATION - TRUST



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TRUST NAME							
Name of Trust (as per trust deed)							
Date of Trust Deed							
TRUSTEES							
First names	Surname	Mob Ph:					
First names	Surname	Mob Ph:					
First names	Surname	Mob Ph:					
CONTACT PERSON FOR TRUST							
Name	Mobile						
Address							
Home phone	Email						
RESIDENCY							
Country of birth	I am a permanent resident of NZ						
(If not NZ, please provide further information.)							
BANK DETAILS FOR INTEREST * Please su	upply deposit slip or bank statment as confirmaiton o	of account number					
Account name	Bank and branch						
Full bank account number							
TAX IRD number	IRD numbers are requested of the Tax Administration of	ed due to the requirements of Section 54[1] Act 1994)					
Tax deduction rate (please tick) 33% (Other	Exempt*					
Is the trust a tax resident of a country other t	han New Zealand?						
No (No further info needed) Yes - The trust is a	a tax resident of a country if it has an obligation to pay tax in tha	t country. Please contact your tax advisor if you are unsure.					
What country is the trust a tax resident of?(other than New i		TIN)					
How did you hear about us?							
ELECTRONIC VERIFICATION	DOCUMENTS REQUIRED	By signing this application form, I/we confirm that I/ we have read, understood and agree to be bound by the					
Southern Cross Partners may choose to confirm your identity via electronic means. We have your permission to complete verification in relation to your identity and personal information, by whatever manner is most appropriate to our satisfaction. We have your permission to complete verification in relation to your identity and personal information to our satisfaction.	I will provide Certified copies of ID and proof of address. Agreement and General Terms and Conditions govern my/our investments through Southern to Partners.						
Yes, I request Southern Cross Partners send me a text message to electronically verify my identity and address (note, not all customers will be able to use electronic verification, we will contact you if we need any more information).							
SIGNATURE	SIGNATURE						
SIGNATURE	DATE / /						
FOR INTERNAL USE ONLY							
COMPLIANCE SIGNATURE		DATE					

AML/CFT LEGISLATION - TRUST



(Anti-Money Laundering and Countering Financing of Terrorism Act 2009)

Compliance with the Act, which came into force in New Zealand on 30th June 2013, is compulsory for all Investment Managers (including Banks), and our compliance is overseen by the Financial Markets Authority.

This short series of questions is designed to assist us with our compliance obligations.

More information about the Act can be found at http://www.legislation.govt.nz/act/public/2009/0035/latest/DLM2140720.html

TRUST DETAILS							
Name of Trust:							
Settlor(s) as per Trust Deed	:						
Trustee(s):							
Person's acting on behalf of	the Trust:						
(This is anyone who has the	authority to carry out trai	nsactions on behalf of th	ne trust)				
Any other individual who ha	s effective control over the	e Trust:					
(This is anyone who has the	power to amend the Trus	t's deed, or remove or a	ppoint t	rustees	.]		
NOTE: ID & Address verif verification. When professional entitie representing the corpora	s are appointed, for exam						
Beneficiaries Names	DOB	Benefi	eneficiaries Names			DOB	
Classification of class benef	iciaries: i.e discretionary c	or final					
ASSETS: Approximate value	of all: (Total of ALL asset	s held by the trust rega	rdless o	f what i	s intended t	to be invested	with SCP)
Property \$	Investr	nents/cash \$	Other \$				
How has the trust mainly ac	quired these assets?						
Property	Inve	stments/cash	Oth			er	
Specifically in respect to the derived from, and where are							e funds been
Origin of Settlor(s) wealth:							
(Documented Proof is requi	red –refer list supplied an	d attach as applicable)					
Does the trust earn income	?: No Yes, from	n where?					
(Documented Proof is requi	red –refer list supplied an	d attach as applicable)					
Additional Information:							
SIGNATURE		DATE	/	/			
SIGNATURE		DATE	1	/			
SIGNATURE		DATE	/	/			
Please note that information contained within the Privacy							th all obligations
FOR INTERNAL USE ONLY COMPLIANCE SIGNATURE						DATE	

OPENING AN ACCOUNT IN THE NAME OF A TRUST



NOTE: As a reporting entity under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009, we are now required to gather and verify information on all new customers, and in some instances, on existing customers.

Recently, the Financial Markets Authority has released additional guidance on how reporting entities gather and verify information on customers who hold accounts in the name of Trusts.

We are required to obtain proof of the source of funds and/or the source of wealth of a customer Trust. This means we need to see documentation on the origin of the wealth/funds of the Trust and, if the Trust has an income, documentation on that income (e.g. income from an underlying company, Trust owned rental property or simply a monthly deposit from a family bank account).

We also need to identify the individual(s) who are the settlor(s) of the Trust, and the origin of the settlor's wealth. For example, the settlor may have inherited family wealth, accumulated business earning, or received funds from the sale of property. We may also need information relating to the beneficiaries of the Trust.

Below is an example of what you will be required to provide:

Examples of Documented proof of - Origin of Wealth & Source of Income;

- · Business Earnings: Audited financial accounts from a chartered accountant, or 3 months bank statements/full pay wage slips
- Inheritance: A copy of a will or stamped grant of probate, stamped grant of letters of administration
- Sale of a property: Sales and purchase agreement or legal document
- Government-issued documents or data
- Full bank and other investment statements
- Source of Income: monthly deposit from a bank account, rental income

It may be that we need to see more than one of these items, or ask for more information, but we will communicate directly with you about what information we need to meet our customer verification obligations under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009.

Please feel free to call us, if you have any questions. 09 535 22396



IDENTIFICATION REQUIREMENTS



WHY DO WE NEED YOUR ID

The AML/CFT Act 2009 (The Act) came into effect on 30 June 2013. Southern Cross Financial is legally required to confirm the identity of its customers and any person acting on behalf of the customer.

WHO NEEDS TO PROVIDE AN ID

In the case of Investors, Section 11 of The Act requires us to conduct customer due diligence on:

- (a) A customer:
- (b) Any beneficial owner of a customer;
- (c) Any person acting on behalf of a customer

WHAT DO WE NEED TO IDENTIFY

The information required to identify the person(s) is:

- (a) The person's full name and
- (b) The person's date of birth; and
- (c) If the person is not the customer, the person's relationship to the customer; and
- (d) The person's address or registered office;
- and the following, only if relevant;
- (e) The person's company identifier or registration number; and
- (f) Any information prescribed by regulations.

ACCEPTABLE IDENTIFICATION DOCUMENTS

Your ID should be current and original and at least one form of ID needs to contain a photo. The ID must be an original of a certified copy. Acceptable identification documents and a list of who is qualified to certify follows: <u>OR</u>, Select Electronic Verification on the Application form.



ELECTRONIC VERIFICATION (If selected on application form)

- A. Documents to verify full name and DOB
 Passport or Drivers Licence (NZ and Australia only)
- B. Address verification is conducted using Property records (home ownership), Retail account (Energy providers) or Credit Bureau (Centrix).

PAPER DOCUMENT VERIFICATION (Copies provided by post)

A. Documents to verify full name, DOB and/or residential address

One of the following: (Primary Photographic)

- Passport (NZ or overseas)
- NZ certificate of identity
- NZ firearms licence

OR, NZ Drivers Licence plus one of the following:

- A credit or debit card issued by a registered NZ bank (must contain name and signature)
- A bank statement issued by a registered NZ Bank, addressed to you and dated within last 12 months.
- A document issued by a NZ government agency containing your name and signature e.g SuperGoldcard.
- IRD statement or other NZ government agency statement addressed to you and dated within last 12 months.

OR, one of these plus any one under Document list (1)

- Full birth certificate (either NZ or overseas)
- Overseas citizenship certificate

Document List (1)

- NZ Drivers Licence
- 18+ card
- International Drivers Licence or permit (with photo)

B. Documents to verify residential address with your name and current address (if address is not already included on the documents mentioned above)

- Utility bill
- Council rates notice / valuation
- NZ Bank statement
- Government agency statements (eg IRD)
- · Other independent document

C. Acceptable persons to certify identification documentation and proof of address

- · Justice of peace
- Lawyer
- Member of police
- Registered teacher
- Chartered accountant

*When certification occurs overseas, copies of the international identification provided by a customer resident overseas must be certified by a person authorised by law in that country to take statutory declarations or equivalent in the customer's country.

Note: [1] Certification must include the name, occupation and signature of the person certifying and the date of certification. [2] The person certifying must sight the original documentation, and make a statement to the effect that the documents provides are a true copy and represent the identity of the named individual [3] Certification must have been carried out in the three months preceding the presentation of the copied documents.

