

# INVESTOR APPLICATION INDIVIDUAL/JOINT



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## PERSONAL - First Applicant

Surname \_\_\_\_\_

First names \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Home phone \_\_\_\_\_

Mobile \_\_\_\_\_

\*Separate email address is required per applicant

Email \_\_\_\_\_

IRD number

IRD numbers are requested due to the requirements of Section 54(1) of the Tax Administration Act 1994.

Tax deduction rate (please tick) ☐ 10.5% ☐ 17.5% ☐ 30% ☐ 33% ☐ 39% ☐ non-resident ☐ Exempt

For joint applications please select ONE tax rate only

## RESIDENCY

Country of birth: \_\_\_\_\_

☐ I am a permanent resident of NZ  
(If not NZ, please provide further information.)

Are you a tax resident of another country?

☐ No (No further info needed) ☐ Yes - You are a tax resident of a country if you have an obligation to pay tax in that country. Contact your tax advisor if you are unsure.  
What country are you a tax resident of? \_\_\_\_\_

Tax Identification Number (TIN) \_\_\_\_\_  
(other than New Zealand)

## BANK DETAILS FOR INTEREST

Bank account name \_\_\_\_\_

Bank account number

## DOCUMENTS REQUIRED Proof of bank account, displaying bank logo, bank account name and bank account number

### ELECTRONIC VERIFICATION

The AML/CFT Act 2009 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.

We have your permission to complete verification in relation to your identity and personal information, by whatever manner is most appropriate to our satisfaction. Southern Cross Partners prefers to confirm your identity biometrically via electronic means. ID needs to be a current and original Passport or Drivers License (NZ & Australian only). Note: not all customers will be able to use electronic verification, we will contact you if we need further information

☐ Yes, I request Southern Cross Partners to send me a text message to electronically verify my identity and address.

By signing this application form, I/we confirm that I/we have read, understood and agree to be bound by the [terms of the Service Disclosure Statement, Investor Agreement and General Terms and Conditions](#) that govern my/our investments through Southern Cross Partners.

SIGNATURE \_\_\_\_\_ DATE / / \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE / / \_\_\_\_\_

FOR INTERNAL USE ONLY

COMPLIANCE SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

# AML/CFT LEGISLATION

## (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 is overseen by the Government. 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>

Name of Investor \_\_\_\_\_

Purpose of Account ☐ Savings ☐ Investment ☐ Retirement income ☐ Other (please specify) \_\_\_\_\_

Assets (Values below are to include the total value of ALL assets held by the investment entity regardless of what is intended to be invested with SCP)

Approx. value of all property \$ \_\_\_\_\_

Approx. value of all investments/cash \$ \_\_\_\_\_

Approx. value of all other assets \$ \_\_\_\_\_

How have you mainly acquired these assets?

☐ Property

☐ Investments/cash

☐ Other assets

Specifically in respect to the funds that you are proposing to invest through Southern Cross Partners, where have those funds been derived from, and where are they presently?

Where did you hear about us?

Have you ever participated in this type of investment in the past?

☐ Yes ☐ No

☐ I/We confirm the nature of the relationship between the Investor and Southern Cross Partners is that of 'Investor' and 'Loan and Investment Manager'

**SIGNATURE** \_\_\_\_\_

**SIGNATURE** \_\_\_\_\_

**DATE**      /      /

Please note that information gathered by us remains Private & Confidential, and that Southern Cross Partners complies with all obligations contained within the Privacy Act 2020 which gives you the right to see and correct information about you held by us.

FOR INTERNAL USE ONLY

COMPLIANCE SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_