

# Investor Application Trust



## Trust Details

Trust name (as per trust deed):

Trust address:

Suburb:

City:

Country:

Postcode:

IRD Number:

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## Persons Involved in the Trust

### Trustee(s):

First name:

Surname:

Mobile:

First name:

Surname:

Mobile:

First name:

Surname:

Mobile:

### Settlor(s):

First name:

Surname:

Mobile:

First name:

Surname:

Mobile:

### Person's acting on behalf of the trust: (Anyone who has the authority to carry transactions on behalf of the trust)

First name:

Surname:

Mobile:

### Beneficiaries:

First name:

Surname:

D.O.B.

First name:

Surname:

D.O.B.

First name:

Surname:

D.O.B.

Type of beneficiaries:

<input type="checkbox"/>	Discretionary	<input type="checkbox"/>	Final
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## Contact Person for Trust

First name:

Middle name:

Surname:

Date of Birth: D

Mobile:

Email:

Street address:

Suburb:

City:

Postcode:

## Contact Person Residency

Are you a NZ Citizen or NZ Permanent Resident?

☐

NZ Citizen

☐

NZ Permanent Resident

If not, what is your country of birth?

If you are not an NZ Citizen or NZ Permanent Resident, please provide a copy of your visa.

## Tax & Banking Details

Tax Deduction Rate (Please tick):

☐

33%

☐

39%

☐

Exempt

Is the trust a tax resident of another country?

☐

No

☐

Yes

If yes, what country are you a tax resident of?

Tax Identification Number (TIN):

Bank Account Name:

Bank Account Number:

Documents required: Proof of bank account displaying bank logo, bank account name and bank account number.

Note: If no tax deduction rate is selected, 30% will automatically apply.

## Financial Declaration

### AML/CFT Legislation

Southern Cross Partners is a reporting entity under the Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) Act 2009. The following questions are 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.htm>

Purpose of Account:

☐

Savings

☐

Investment

☐

Retirement

☐

Other (please specify)

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

☐

No

☐

Yes

Values below are to include the total value of ALL assets held by the investing entity:

Approx value of all investments/cash:

\$

Approx value of all property:

\$

Approx value of all other assets:

\$

How has the trust mainly acquired these assets? (tick all that apply)

☐

Salary/Wage

☐

Sale of Investment Property

☐

Sale of home

☐

Interest earned on investments/savings

☐

Business earnings

☐

Dividends from shares

☐

Inheritance

☐

Other (please specify)

Please tell us how the trust acquired these assets:

Does the trust earn an income?

☐

No

☐

Yes

Note: we may require supporting documentation – please see information sheet on page 4

## Investor Application – Trust

### Where did you hear about us? (tick all that apply)

<input type="checkbox"/> Internet Search	<input type="checkbox"/> Social Media	<input type="checkbox"/> Newspaper	<input type="checkbox"/> Investor Event
<input type="checkbox"/> Current Investor	<input type="checkbox"/> Radio	<input type="checkbox"/> Interest.co.nz	<input type="checkbox"/> Other (please specify) _____

### Identity & Address 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 a text to your mobile device. If required, you authorise us to use your ID document to apply to the relevant Data Source to complete the verification process. Please note: ID needs to be a current and original Passport or Drivers Licence (NZ & Australian only).

☐ Yes I/we agree and request Southern Cross Partners to send all related parties of this trust a text message to verify their identity and address.

Please contact us if this is not suitable for you.

### Trustees' Signatures

By signing this application form I confirm that I 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.

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

☐ I/we will provide the original trust deed and any further trust amendments

<b>Name:</b>	<input type="text"/>	<b>Name:</b>	<input type="text"/>	<b>Name:</b>	<input type="text"/>
<b>Signed:</b>	<input type="text"/>	<b>Signed:</b>	<input type="text"/>	<b>Signed:</b>	<input type="text"/>
<b>Date:</b>	<input type="text"/>	<b>Date:</b>	<input type="text"/>	<b>Date:</b>	<input type="text"/>

#### FOR INTERNAL USE ONLY

**Compliance  
Signature:**

**Date:**

# Opening an account in the name of a trust

As a reporting entity under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009, we are required to gather and verify information on all new investing entities.

There are legislative requirements around gathering information on accounts held in the name of Trusts.

We are required to obtain proof of the source of funds and/or the source of wealth of the Trust. This means we need to see documentation on where the funds were originated from, and if the Trust has an income. For example, it may be income from an underlying company or a monthly deposit from a family bank account or rent received.

We need to identify the individual(s) who are the settlor(s), 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.

Examples of what you could provide:

- \* Audited financial accounts from a chartered accountant
- \* A copy of a will
- \* Sales and purchase agreements
- \* Inheritance (stamped grant of probate, stamped grant of letters of administration)
- \* Government-issued documents or data e.g., IRD
- \* Full bank and other investment statements
- \* Full pay slips or wage slips

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 is required.

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If you have any questions, please feel free to contact us on 09 535 2239 or your Relationship Manager directly,

**Simone Vincent**

021 301 008 | [simone@scpartners.co.nz](mailto:simone@scpartners.co.nz)

**Ross Latham**

021 521 257 | [ross.latham@scpartners.co.nz](mailto:ross.latham@scpartners.co.nz)

**Heather Kentsley**

021 913 330 | [heatherk@scpartners.co.nz](mailto:heatherk@scpartners.co.nz)