

Investor Application Company



Company Details

Full company name:	NZBN:	
Business address:	Suburb:	
City:	Country:	Postcode:
IRD Number:		

Directors & Shareholders

List all directors, shareholders (25% or greater) and any ultimate beneficial owners

First name:	Surname:	Mobile:
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, please provide a copy of your current visa.

First name:	Surname:	Mobile:
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, please provide a copy of your current visa.

First name:	Surname:	Mobile:
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, please provide a copy of your current visa.

Contact Person for Company

First name:	Middle name:	Surname:
Date of Birth: D M Y	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.

Company Information

Does the company have any appointed nominee director(s) and/or nominee shareholder(s)?

☐

No

☐

Yes

Definition: Nominee director/shareholder is the individual who IS a director/shareholder of a company and is required to carry out or accustomed to carrying out the role of director/shareholder in accordance with the directions or instructions of another person who IS NOT a listed director/shareholder of the company.

Does the company have any share(s) in bearer form?

☐

No

☐

Yes

Definition: Shares in bearer form means there is/are individual(s) who owns share(s) in the form of a *physical share certificate* and IS NOT a listed shareholder of company

Is the company a vehicle for holding personal assets?

☐

No

☐

Yes

Definition: A vehicle for holding personal assets mean that the company serves solely to hold and manage an individual(s) *personal asset* which includes but not limited to stocks, equities, cash, savings etc.

Are the shares of the company being held by a shareholder on behalf of any Trust?

☐

No

☐

Yes

Definition: Are any shares of the company owned by a Trust

Is the company acting as the Trustee of a Trust?

☐

No

☐

Yes

Please note: we may request more information such as source of funds/wealth

Tax & Banking Details

Tax Deduction Rate (Please tick):

☐

28%

other

Is the company a tax resident of another country?

☐

No

☐

Yes

If yes, what country is the company a tax resident of?

Tax Identification Number (TIN):

Bank Account: Name of Account Holder(s):

Bank Account Number:

DOCUMENTS REQUIRED: Proof of bank account displaying bank logo, bank account number and account name to match applicant name(s).

Note: If no tax deduction rate is selected, 28% will be automatically selected.

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 <https://www.legislation.govt.nz/act/public/2009/35/en/latest/#DLM2140720>

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: (Figures can be approximate)

Approx value of all investments/cash: \$ _____

Approx value of all property: \$ _____

Approx value of all other assets: \$ _____

How has the company 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 note: We may contact you if we seek further clarification

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

☐ Internet Search
 ☐ Social Media
 ☐ Newspaper
 ☐ Current SCP Investor _____
☐ Event
 ☐ Radio
 ☐ interest.co.nz
☐ 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. Please note: ID needs to be a current and original Passport or Drivers Licence (NZ & Australian only).

☐ Yes, I/we request Southern Cross Partners to send the directors & shareholders of this company a text message to verify their identity and address using electronic verification (EV).

Please contact us if this is not suitable for you.

Investor Application – Company

Directors Signature

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’

Name:	
Signed:	
Date:	

Name:	
Signed:	
Date:	

Further space (if required):