



Individual Self-Certification

Instructions for completion

We are obliged under the New Zealand law to collect certain information about each account holder's tax status. Please complete the sections below and provide any additional information that is requested. We may be obliged to share this information with relevant tax authorities.

If any of the information below regarding your tax residence changes in the future, please ensure you advise us of these changes promptly. If you have any questions about how to complete this form, please contact us or your financial adviser.

Where there are joint account holders, each investor is required to complete a separate Self-Certification form.

Section 1: Account Holder Identification

Account Holder Name (full name)

Date of Birth / /

Place and Country of Birth

Permanent Residential Address:

Postal address

Suburb State Postcode

Country

Mailing address (if different from above):

Postal address

Suburb State Postcode

Country

Section 2: N.Z. tax residency

Please tick either (a) **or** (b) as appropriate.

- (a) confirm that **I am** a New Zealand resident for tax purposes.
- (b) I confirm that **I am not** a New Zealand resident for tax purposes.

Section 3: Declaration of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick either (a) or (b) **or** (c) and complete as appropriate.

- (a) confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial presence test) and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:
- (b) confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.
- (c) confirm that **I am not** a U.S. citizen or resident in the U.S. for tax purposes.

Section 4: Declaration of Tax Residency (other than N.Z. or U.S.)

Please tick either (a) **or** (b) as appropriate.

- (a) confirm that **I am not** resident for tax purposes in any country other than N.Z. or U.S.
- (b) confirm that **I am** resident for tax purposes in a country other than N.Z. or U.S. This country/(ies) are listed below.

Country/countries of tax residency	Tax reference number type	Tax reference number

Please indicate "not applicable" if a jurisdiction does not issue or you are unable to procure a tax reference number or functional equivalent. If applicable, please circle the reason for non-availability of a tax reference number:

- Reason A** The country of tax residency does not issue TINs to tax residents
- Reason B** The individual has not been issued with a TIN
- Reason C** The country of tax residency does not require the TIN to be disclosed
- Reason D** Other – please explain below

Section 5: Declaration and Undertakings

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete.

Signature

Date / /

Please forward all correspondence and enquiries to

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