

Client Application Form

**COMPANY, INCORPORATED SOCIETY, INCORPORATED
CHARITABLE TRUST, PARTNERSHIP, LIMITED PARTNERSHIP
OR UNINCORPORATED ASSOCIATION**



1. APPLICANT

If you are a COMPANY applicant please complete all of Section 1 and ensure that at least one director also completes and signs the Guarantor section (Section 16)

Full Legal Name:

Trading Name (if applicable):

Type of entity:

Company, Incorporated Society, Incorporated Charitable Trust Number:

Country of Incorporation or Registration:

If the applicant is a company, is it a nominee general partner of a Limited Partnership (NZ or overseas)?

Yes No

Primary business activity of the company/partnership:

Principal Business or Registered Office Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Mobile:

Fax:

Email:

Type of entity: Indicate whether the entity is a company, Incorporated Society, Incorporated Charitable Trust, Partnership, Limited Partnership, Overseas Limited Partnership or Unincorporated Association.

Nominee director: A nominee director of a Company carries out their role in accordance with the directions or instructions of another person who is not a director (but does not include a director who is required to follow, or accustomed to following, the directions or instructions of a holding company of the Company or an appointing shareholder).

Nominee general partner: A nominee general partner of a limited partnership carries out their role in accordance with the directions or instructions of another person who is not a general partner.

Principal Business or Registered Office Address: This address should match what is recorded on the Companies Register.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

Director, Partner, Officer, or Trustee: Please provide the full legal names of ALL Directors, Partners, Officers and Trustees.

Nominee director: A nominee director of a Company carries out their role in accordance with the directions or instructions of another person who is not a director (but does not include a director who is required to follow, or accustomed to following, the directions or instructions of a holding company of the Company or an appointing shareholder).

Nominee general partner: A nominee general partner of a limited partnership carries out their role in accordance with the directions or instructions of another person who is not a general partner.

Tax Identification Number (TIN): Please supply the country/countries and TINs of any other countries where you are a tax resident.

IRD Number: For New Zealand residents, if a valid IRD Number is not provided, the default withholding tax rate of 45% will be applied.

United States Person: A United States Person can include US citizens, US tax residents and persons born in the US. If you are unsure, you should contact your tax adviser.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

1. APPLICANT *continued*

Director, Partner, Officer, or Trustee: *First Director, Partner, Officer, or Trustee (individual)*

Mr Ms Mrs Miss Dr Other

Full Name:

Controlling person type:

Date of Birth:

DAY			MONTH			YEAR			

Country of Birth:

Country(s) of Citizenship/Nationality:

I confirm that

I am a nominee director/
nominee general partner I am not a nominee director/
nominee general partner

Tax Details

I certify that I am a tax resident in the following country/countries (please select the country and supply the Tax Identification Number (TIN) for all that apply):

New Zealand:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (IRD number)

Australia:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (Tax File number)

United States:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (Social Security number)

United Kingdom:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (National Insurance number)

Other Country (please state):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Is the individual a United States Person?

Yes (please complete IRS Form W-9, available on request or online at www.irs.gov/pub/irs-pdf/fw9.pdf)
 No

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

Director, Partner, Officer, or Trustee: Please provide the full legal names of ALL Directors, Partners, Officers and Trustees.

Nominee director: A nominee director of a Company carries out their role in accordance with the directions or instructions of another person who is not a director (but does not include a director who is required to follow, or accustomed to following, the directions or instructions of a holding company of the Company or an appointing shareholder).

Nominee general partner: A nominee general partner of a limited partnership carries out their role in accordance with the directions or instructions of another person who is not a general partner.

Tax Identification Number (TIN): Please supply the country/countries and TINs of any other countries where you are a tax resident.

IRD Number: For New Zealand residents, if a valid IRD Number is not provided, the default withholding tax rate of 45% will be applied.

United States Person: A United States Person can include US citizens, US tax residents and persons born in the US. If you are unsure, you should contact your tax adviser.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

1. APPLICANT *continued*

Director, Partner, Officer, or Trustee: *Second Director, Partner, Officer, or Trustee (individual)*

Mr Ms Mrs Miss Dr Other

Full Name:

Controlling person type:

Date of Birth:

DAY			MONTH			YEAR			

Country of Birth:

Country(s) of Citizenship/Nationality:

I confirm that

I am a nominee director/
nominee general partner I am not a nominee director/
nominee general partner

Tax Details

I certify that I am a tax resident in the following country/countries (please select the country and supply the Tax Identification Number (TIN) for all that apply):

New Zealand:

--	--	--	--	--	--	--	--	--	--

 (IRD number)

Australia:

--	--	--	--	--	--	--	--	--	--

 (Tax File number)

United States:

--	--	--	--	--	--	--	--	--	--

 (Social Security number)

United Kingdom:

--	--	--	--	--	--	--	--	--	--

 (National Insurance number)

Other Country (please state):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Is the individual a United States Person?

Yes (please complete IRS Form W-9, available on request or online at www.irs.gov/pub/irs-pdf/fw9.pdf)
 No

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

If there are more than two Directors, please use the applicable supplementary application sheet, which can be found on our website: www.leveragedequities.co.nz. This must be attached to this Client Application Form when it is submitted.

2. ACTING ON BEHALF OF CUSTOMER (AUTHORISED PERSON)

This section only needs to be completed if you wish to nominate someone to instruct on your account in addition to the Applicant(s) recorded in Section 1.

First Authorised Person details

Mr Ms Mrs Miss Dr Other

Full Name:

Relationship to Applicant:

Date of Birth:

DAY	MONTH	YEAR		

Country of Birth:

Country(s) of Citizenship/Nationality:

Occupation:

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

Full Name: This includes your First Name, Middle Name(s), Last Name – please do not use initials or abbreviations.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

Authorised Person: Complete this section if you wish to add a second Authorised Person to your account.

Full Name: This includes your First Name, Middle Name(s), Last Name – please do not use initials or abbreviations.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

2. ACTING ON BEHALF OF CUSTOMER (AUTHORISED PERSON) *continued*

Second Authorised Person details

Mr Ms Mrs Miss Dr Other

Full Name:

Relationship to Applicant:

Date of Birth:

DAY		MONTH		YEAR	

Country of Birth:

Country(s) of Citizenship/Nationality:

Occupation:

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

If there are more than two persons acting on behalf of a customer, please use the applicable supplementary application sheet, which can be found on our website: www.leveragedequities.co.nz. This must be attached to this Client Application Form when it is submitted.

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES

How will the account be used? (please reply 'Yes' or 'No'):

- Invest in one or two specific securities Yes No
- Receive or send money from or to countries other than New Zealand or Australia Yes No
- Receive or send money from or to third party non bank financial services companies e.g. forex providers or share brokers Yes No
- Invest more than NZD \$1million Yes No

POLITICALLY EXPOSED PERSONS

Is any Director/Partner/Officer/Trustee/Authorised Person/Beneficial Owner either:

- an individual who holds, or has held at any time in the preceding 12 months, a prominent public function in any country (other than New Zealand); or
- an immediate family member of a person referred to above, including a spouse, partner, child, child's spouse/partner or a parent.

If 'Yes', please provide details of the public function held and the country:

.....

.....

.....

Please provide details of the origin of their wealth and evidence e.g. if the origin of their wealth is business income then a copy of the business financial statements:

.....

.....

Please provide details of the source of any funds to be paid into their account with Leveraged Equities:

.....

.....

Applicant Information

Please answer the following questions:

- Is the applicant a vehicle for holding personal assets? Yes No
- Does the company have nominee shareholders or nominee directors or shares in bearer form? Yes No
- Is the Applicant a nominee general partner of a limited partnership or overseas limited partnership? Yes No

Prominent Public Function: e.g. head of a country, government minister, senior politician, senior Judge, governor of a central bank, ambassador, high commissioner, high-ranking member of the armed forces, or senior position in a State enterprise.

Origin of wealth: A detailed description of the activity which has generated the overall net worth of the Politically Exposed Person.

Source of funds: A description of the origin and means of transfer for monies being paid into their Leveraged Equities account e.g. electronic transfer from their New Zealand bank account.

Nominee Director: A nominee director of a Company carries out their role in accordance with the directions or instructions of another person who is not a director (but does not include a director who is required to follow, or accustomed to following, the directions or instructions of a holding company of the Company or an appointing shareholder).

Nominee Shareholder: A nominee shareholder means a shareholder who carries out the role of shareholder in accordance with the directions or instructions of another person who is not a shareholder.

Nominee general partner: A nominee general partner of a limited partnership carries out their role in accordance with the directions or instructions of another person who is not a general partner.

Bearer Shares: A bearer share accords ownership in a company to whoever holds the physical bearer share certificate and ownership can be transferred by delivery of the physical share certificate. NB: New Zealand incorporated companies are unable to issue bearer shares.

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES *continued*

Source of Funds/Wealth

This section is mandatory if:

- the Applicant is incorporated/registered/established in a country other than New Zealand; or
- you answered 'Yes' to any of the questions in the previous Applicant Information section.

Please provide details of the origin of the Applicant's wealth:

.....

.....

.....

.....

.....

.....

Please provide details of the source of any funds to be paid at account opening into the Applicant's account with Leveraged Equities and evidence e.g. if the source of funds is the proceeds from an investment then a confirming document from the company or bank where the investment was made:

.....

.....

.....

.....

.....

.....

Origin of Wealth: A detailed description of the activity which has generated their net worth, e.g. employment earnings (please specify the nature of their employment), sale of a business (please specify the nature of the business and industry).

Source of Funds: A description of the origin and means of transfer for monies being paid into your Leveraged Equities account e.g. electronic transfer from your New Zealand bank account.

Effective control: an individual with effective control can include those with the ability to control the Applicant, those in senior management positions and/or those with the ability to dismiss those in senior management positions.

Full Name: This includes your First Name, Middle Name(s), Last Name - please do not use initials or abbreviations.

Controlling Person Type: Please supply ALL Controlling Person Types that the individual holds (e.g. Trustee, Director, Settlor).

Tax Identification Number (TIN): Please supply the country/countries and TINs of any other countries where you are a tax resident.

IRD Number: For New Zealand residents, if a valid IRD Number is not provided, the default withholding tax rate of 45% will be applied.

United States Person: A United States Person can include US citizens, US tax residents and persons born in the US. If you are unsure, you should contact your tax adviser.

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES *continued*

BENEFICIAL OWNERSHIP

Please provide details of all beneficial owners of the Applicant. A beneficial owner is an individual who owns more than 25% of the Applicant, who has effective control of the Applicant, and/or with ultimate ownership or control of the Applicant, whether directly or indirectly'. Should no individual own more than 25% of the Applicant, you must still provide details of at least one individual who has effective control and/or with ultimate ownership or control of the Applicant, whether directly or indirectly.

First Beneficial Owner

Mr Ms Mrs Miss Dr Other

Full Name:

Controlling Person Type:

Date of Birth:

DAY	MONTH	YEAR							

Country of Birth:

Country(s) of Citizenship/Nationality:

Tax Details

I certify that I am a tax resident in the following country/countries (please select the country and supply the Tax Identification Number (TIN) for all that apply):

New Zealand:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (IRD number)

Australia:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (Tax File number)

United States:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (Social Security number)

United Kingdom:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (National Insurance number)

Other Country (please state):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Is the Beneficial Owner a United States Person?

Yes (please complete IRS Form W-9, available on request or online at www.irs.gov/pub/irs-pdf/fw9.pdf)

No

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES *continued*

Second Beneficial Owner

Mr Ms Mrs Miss Dr Other

Full Name:

Controlling Person Type:

Date of Birth:

DAY MONTH YEAR

Country of Birth:

Country(s) of Citizenship/Nationality:

Tax Details

I certify that I am a tax resident in the following country/countries (please select the country and supply the Tax Identification Number (TIN) for all that apply):

New Zealand: (IRD number)

Australia: (Tax File number)

United States: (Social Security number)

United Kingdom: (National Insurance number)

Other Country (please state):

Full Name: This includes your First Name, Middle Name(s), Last Name - please do not use initials or abbreviations.

Controlling Person Type: Please supply ALL Controlling Person Types that the individual holds (e.g. Trustee, Director, Settlor).

Tax Identification Number (TIN): Please supply the country/countries and TINs of any other countries where you are a tax resident.

IRD Number: For New Zealand residents, if a valid IRD Number is not provided, the default withholding tax rate of 45% will be applied.

United States Person: A United States Person can include US citizens, US tax residents and persons born in the US. If you are unsure, you should contact your tax adviser.

Is the Beneficial Owner a United States Person?

Yes (please complete IRS Form W-9, available on request or online at www.irs.gov/pub/irs-pdf/fw9.pdf)
 No

Residential Address:

Street No./Name:

Suburb/RD No.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Country: New Zealand Other (please state):

Phone Work:

Phone Home:

Phone Mobile:

Fax:

Email:

Mailing Address: Only complete this part if your Mailing Address is different to your Residential Address.

Email Address: By providing your email addresses at any place in this application form you are consenting to receiving information required to be provided to you under the relevant legislation by email (where permitted) and receiving information about Leveraged Equities' products and services by email.

If there are more than two beneficial owners, please use the applicable supplementary application sheet, which can be found on our website: www.leveragedequities.co.nz. This must be attached to this Client Application Form when it is submitted.

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES *continued*

ANTI-MONEY LAUNDERING DISCLOSURES

Nominee General Partner: A nominee general partner of a limited partnership carries out their role in accordance with the directions or instructions of another person who is not a general partner.

Nominee Director: A nominee director of a Company carries out their role in accordance with the directions or instructions of another person who is not a director (but does not include a director who is required to follow, or accustomed to following, the directions or instructions of a holding company of the Company or an appointing shareholder).

Nominee Shareholder: A nominee shareholder means a shareholder who carries out the role of shareholder in accordance with the directions or instructions of another person who is not a shareholder.

If the applicant is a company, is the company a nominee general partner of a Limited Partnership (NZ or overseas)? Yes No

If the applicant is a limited partnership (NZ or overseas), does it have any nominee general partners? If 'Yes', please list their details below. Yes No

If the applicant is a company, does it have any nominee directors? If 'Yes', please list their details below. Yes No

If the applicant is a company, does it have any nominee shareholders? If 'Yes', please list their details below. Yes No

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

Name:

Status: Nominee Director Nominee Shareholder Nominee General Partner

3. ANTI-MONEY LAUNDERING AND TAX DISCLOSURES *continued*

Source of Funds/Wealth:

If you answered 'Yes' to any of the questions on the previous page, please provide the following documents and information unless already provided in the application form:

Please provide details of the origin of the Applicant's wealth:

.....
.....
.....
.....
.....
.....

Please provide details of the source of any funds to be paid at account opening into the Applicant's account with Leveraged Equities and evidence e.g. if the source of funds is the proceeds from an investment then a confirming document e.g. from the company or bank where the investment was made:

.....
.....
.....
.....
.....
.....

Origin of Wealth: A detailed description of the activity which has generated their net worth, e.g. employment earnings (please specify the nature of their employment), sale of a business (please specify the nature of the business and industry).

Source of Funds: A description of the origin and means of transfer for monies being paid into your Leveraged Equities account e.g. electronic transfer from your New Zealand bank account.

4. NZX PRESCRIBED PERSON CONFIRMATION

A Prescribed Person is someone who has a defined relationship or connection with another NZX Firm.

This account will be a Prescribed Person account if any account holder is:

- (a) a director (other than an independent director), partner, NZX Adviser, officer, employee, agent, dealer or contractor of an NZX Market Participant; or
- (b) the spouse, de facto partner or dependent child of a person referred to in (a); or
- (c) a company or other incorporated entity :
 - that is controlled by one or more persons referred to in (a) or (b); or
 - where one or more persons referred to in (a) or (b) is beneficially entitled to more than 50% of the entity's issued capital, or hold or controls more than 50% of the voting power; or
- (d) a family trust of one or more persons referred to in (a) or (b). A family trust in this case means a trust where one or more persons referred to in (a) or (b):
 - is potentially able to receive a benefit under the trust of, or has the power to distribute to a beneficiary, 33% or more of the value of the trust property; and
 - can remove a majority of the trustees and replace them with their own nominees; or
- (e) an entity controlled by any one or more person or entities referred to in (a) to (d).

In (e) above, an entity is "controlled" by one or more persons if those persons have the capacity to determine the outcome of decisions about the entity's financial and operating policies, taking account of the practical influence that they are able to exert.

Please confirm that none of the above apply:

I/We confirm that this is **not** an account for a Prescribed Person.

5. TAX DETAILS

New Zealand Tax Residents

Resident Withholding Tax (RWT) is deducted at source at the following rates: Equity securities: 33%, Fixed Interest securities: 28%.

If *Exempt*, tick the box below and include your Exemption Certificate:

Exempt

Prescribed Investor Rate (PIR) is deducted at source at the following rate (only): PIE securities: 28%.

Overseas Tax Residents

Residing in a Double Tax Agreement country - Non Resident Withholding Tax (NRWT) is deducted at source at the following rates: Equity securities: 15%; Fixed Interest securities: 10%.

Residing in a Non-Double Tax Agreement country - Non Resident Withholding Tax (NRWT) is deducted at source at the following rates: Equity securities: 30%; Fixed Interest securities: 15%.

Prescribed Investor Rate (PIR) is deducted at source at the following rate (only): PIE securities: 28%.

Tax Details

I certify that the entity is a tax resident in the following country/countries (please select the country and supply the Tax Identification Number (TIN) for all that apply):

- New Zealand: (IRD number)
- Australia: (Tax File number)
- United States: (Social Security number)
- United Kingdom: (National Insurance number)
- Other Country (please state):

Is the entity a United States Person?

- Yes (please complete IRS Form W-9, available on request or online at www.irs.gov/pub/irs-pdf/fw9.pdf)
- No

Limitation on Benefits Certification

- No, I/we are not eligible
- I/we certify that the entity meets all provisions of the applicable treaty that are necessary to claim a reduced rate of withholding, including any limitation on benefits provisions, and derives the income as the beneficial owner.

Please select the following Limitation on Benefits provision that applies to your circumstances:

- Company or trust that meets the ownership and base erosion test.*
This includes companies and trusts which are owned and controlled by New Zealand residents and more than half of the company's/trust's income is accrued or paid to entities or individuals who are resident in either New Zealand or the United States.
- Tax exempt pension trust or pension fund*
This includes pension funds and pension trusts where more than half the beneficiaries or participants are New Zealand residents.
- Other tax exempt organisation*
This includes religious, charitable, scientific, artistic, cultural, or educational organisations provided more than half the beneficiaries, members, or participants are New Zealand residents.
- Government*
This includes Government entities, political subdivisions, and local authorities.
- None of the above*
If you do not meet any of the above categories please complete the appropriate W-8 Series Form: www.irs.gov/businesses/corporations/fatca-related-forms. If you are unsure which form you need, please discuss this with your tax adviser/accountant.

The summaries provided are for the general convenience of taxpayers but may not be relied upon for making a final determination that you meet a Limitation on Benefit test. Rather you must check the text of the Limitation on Benefit Article in the United States - New Zealand Double Tax Agreement to determine which tests are available under that treaty and the particular requirements of those tests.

Double Tax Agreements (DTAs):

To avoid worldwide income being taxed twice, DTAs have been negotiated between New Zealand and many other countries or territories to decide which country or territory has the first or sole right to tax specific types of income. For details visit the DTA section on the IRD website (www.ird.govt.nz/international/residency/dta/double-tax-agreements-index)

Tax Identification Number (TIN):

Please supply the country/countries and TINs of any other countries where the entity is a tax resident.

An Entity which is a US Person:

It includes partnerships or corporations organised in the United States or under the laws of the United States or any State thereof, a trust if a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust and one or more US persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

Limitation on Benefits

Certification: To ensure we are able to deduct the appropriate rate of United States Resident Withholding Tax in respect of US investments, clients must certify they are eligible for treaty benefits and must specify the relevant Limitation on Benefits provision they satisfy under the Double Tax Agreement between New Zealand and the United States. This requirement was brought about by the Internal Revenue Service (of the United States) and impacts all clients investing in US Securities. If you do not currently hold any US Securities, we still recommend that you still complete the certification. We will hold the appropriate documentation on file for future investment decisions.

Income: Within the meaning of section 894 of the Internal Revenue Code (Income affected by treaty) and the regulations thereunder.

Companies and trusts which are owned and controlled: More than 50% of the voting power and value of the company's shares, or more than 50% of the beneficial interests in the case of trusts, and where ownership is indirect all in the chain of ownership must also be New Zealand residents.

New Zealand residents: Includes individuals and other persons liable to tax in New Zealand by reason of tax residence.

Entity managed by another Financial Institution: An institution manages the entity if it is responsible for making and executing investment decisions without needing prior approval from management, the board or trustees of the entity. Ad hoc investment advice isn't 'management' of the entity.

Trustee which is a Financial Institution: A 'Financial Institution' includes trustee corporations, and can include lawyer and accountant nominee or trust companies. However, it will exclude lawyers or accountants acting as a trustee in a personal capacity. It also usually excludes trustee companies which are only a trustee of a single trust. If in doubt, please contact the Trustee.

Financial products: Any asset that may be held in an account, such as shares, bonds, debentures, and money.

Passive Investments/Income: Passive income includes dividends, interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade/business), annuities, and amounts received under cash insurance contracts.

5. TAX DETAILS *continued*

1. Entity Type Classification

Please answer all of the following;

If you answer **YES** to **ANY** of the questions below, please complete the 3. *Financial Institutions* section.

If you answer **NO** to **ALL** of the questions below, please complete the 2. *Non-Financial Entity* section.

Is the entity managed on a discretionary basis by a Financial Institution, **AND** is more than 50% of the entity's income generated from investment activities in financial products? Yes No

Is the entity a trust which generates more than 50% of its income from investment activities in financial products, **AND** has a trustee which is a Financial Institution? Yes No

Is the entity a bank, non-bank deposit taker, custodian, investment fund and fund manager, private equity, hedge fund or an insurer? Yes No

Is the entity an investment entity that carries on a business of trading in financial assets for or on behalf of a customer, **AND** has more than 50% of its income attributable to investment activities? Yes No

2. Non-Financial Entity

Is the account held for an Active or Passive Non-Financial Entity?

Active Non-Financial Entity

An **Active Non-Financial Entity** is one where, in the preceding calendar year, **less than 50%** of the entity's gross income was passive income, **AND** where **less than 50%** of the assets held by the entity were assets held for the production of passive income.

This also includes the following entities:

- A Holding Company, other than a Holding Company of a Financial Institution that does not hold itself out to be a PE fund, VC fund or Leveraged Buyout Fund, or any similar type of investment vehicle.
- A registered charity (even if it derives predominantly passive income)
- A Listed Company that is not an Investment Entity/Exchange Traded Fund

Passive Non-Financial Entity

A **Passive Non-Financial Entity** is one where, in the preceding calendar year, the entity earned **50% or more** of its gross income from passive investments **OR** where **50% or more** of the entity's assets were held for the production of passive income in the preceding calendar year.

Global Intermediary Identification Numbers (GIINs): Assigned to Financial Institutions and sponsoring entities for purposes of identifying their registration status with the IRS under FATCA.

Reporting Financial Institution does not currently have a GIIN: If the Financial Institution has applied for a GIIN but has not received it yet, please wait for it to be issued before returning the form.

Sponsoring Entity: In some circumstances, where an account is held by a trust which has a Trustee Company as a Trustee, the Trustee Company may choose to sponsor the Trust. Please check with your Trustee Company if this is an option.

5. TAX DETAILS *continued*

3. Financial Institutions

i. Does the entity have a Global Intermediary Identification Number (GIIN)? If yes, please provide the details below:

Financial Institution's Name:
.....

GIIN:

OR

ii. If the Financial Institution requires a GIIN and it has not registered to be issued with one, it can apply at this website: www.irs.gov/businesses/corporations/fatca-foreign-financial-institution-registration-tool. Instructions on how to register can be found at this website: www.irs.gov/pub/irs-pdf/p5118.pdf. Once the GIIN has been received please write the Financial Institution's name and GIIN above.

There is guidance available from the IRD to help Financial Institutions understand their obligations and due diligence requirements to identify and report where foreign tax residents may be associated with the account. If you think this may apply to you please read IRD Guidance Note IR1083 where US persons are associated with the account and where any other foreign tax residents are associated with the account please refer to IRD Guidance Note 1049.

OR

iii. Has another Financial Institution agreed to sponsor or document the entity?

Yes

Sponsoring Financial Institution's Name (or documenting Trustee's name):
.....

GIIN:

OR

iv. Is the entity a Non-Reporting Financial Institution/Exempt Beneficial Owner:

Yes

This may include:

- Governmental entities
- International Organisation
- Certain retirement funds
- Māori Authorities
- Registered Deemed Compliant Financial Institutions
- Certified Deemed Compliant Financial Institutions

6. BANK ACCOUNT DETAILS

All applicants must complete this section

To enable us to transfer loan proceeds we will require **original** bank account documentation for a New Zealand Dollar bank account and (if you wish to draw funds in Australian Dollars) an Australian Dollar bank account in the same name as the account Applicant(s).

Please provide ONE of the following:

- A bank encoded deposit slip with pre-printed details of your bank account name and number
- A bank statement A verification letter or other document of confirmation provided by your bank

We will only make payments to a bank account in the name of the Applicant(s).

Additional information

We may require additional information and/or documentation from you in order to meet the requirements of the Anti-Money Laundering and Countering the Financing of Terrorism Act 2009. We will notify you if we require anything further.

9. DIVIDEND PAYMENTS

All applicants must complete this section

How would you prefer your dividends?

- Cash
- Dividend Reinvestment Plan (DRP)

10. AUTHORISED AGENTS/ALTERNATE CONTACTS

This section is optional

Please provide the names of any authorised agents that we may contact in the event you are unavailable if a margin call occurs.

Name:

Relationship to Applicant:

Phone:

Name:

Relationship to Applicant:

Phone:

11. TRANSFERRING SECURITY

This section is to be completed by all applicants transferring Securities to us by way of security under the Margin Lending Agreement

<i>Name of Company</i>	<i>Number of Securities</i>	<i>Common Shareholder Number (CSN)</i>	<i>Authorisation Code</i>

12. ESTABLISHMENT FEES

This section applies to all Applicants

A one-off application fee of \$125 is payable to Leveraged Equities Finance Limited for processing this application.

Make this payment direct to the bank account below, using the name of the account as reference.

Bank of New Zealand, Auckland

Account number: 02 0100 0044799 000

Account name: Leveraged Equities Finance Limited

13. POWER OF ATTORNEY

Each of the Borrower and the Guarantor for valuable consideration irrevocably appoints Leveraged Equities Finance Limited and every officer of Leveraged Equities Finance Limited, severally, to be the Borrower's and Guarantor's attorney ("Attorney") with full power to:

- a) (at the Borrower's or Guarantor's expense) do everything necessary or expedient to give effect to any transaction or other thing contemplated by the Margin Lending Facility with Leveraged Equities Finance Limited, including without limitation, executing, amending, completing any blanks in any document and doing anything which, in the Attorney's opinion, is desirable to protect Leveraged Equities Finance Limited's interests under the Margin Lending Facility (even if the Attorney has a conflict of duty in doing so, or has a direct or personal interest in the means or result of the exercise of any of the Attorney's powers); and
- b) delegate the Attorney's powers to any person for any period and to revoke a delegation, and to appoint one or more substitute Attorney's to exercise any of the powers given to the Attorney (each such substitute attorney shall be also an "Attorney");

and the Borrower and Guarantor ratify anything done by the Attorney or any delegate in accordance with this clause.

14. SIGNATURE AND DISCLOSURE

All applicants must complete this section

Please have each party to the application initial beside each of these statements in the space provided and sign in full in the relevant section on the next page.

Every person named as one of the Account Holders or as an Authorised Person must sign this section.

- (a) I/We hereby declare that the information given herewith in support of my/our application for a Margin Lending Facility with Leveraged Equities Finance Limited is true and correct, and is not misleading (including by omission).
- (b) I/We acknowledge that I/we have received a disclosure copy of the Leveraged Equities Finance Limited's "Make the Most of Your Potential" Brochure incorporating the terms and conditions of the Margin Lending Facility ("the Brochure") and the Product Disclosure Statement for the Margin Lending Facility ("PDS"). I/We have read and understood the Brochure and the PDS and agree to be bound by the terms and conditions contained within the Brochure.
- (c) I/We will advise Leveraged Equities Finance Limited if any of our tax details change.

Every person named as one of the Account Holders must sign this section.

- (a) I/We acknowledge that I/we wish to apply for a Margin Lending Facility with Leveraged Equities Finance Limited.
- (b) I/We hereby declare that the information given herewith in support of my/our application for a Margin Lending Facility with Leveraged Equities Finance Limited is true and correct, and is not misleading (including by omission).
- (c) I/We acknowledge that I/we agree to Leveraged Equities Finance Limited obtaining, using and exchanging personal credit information about me/us for the purposes of applying for and maintaining a Margin Lending Facility with Leveraged Equities Finance Limited.
- (d) I/We have read and understand the risks associated with operating a Margin Lending Facility.
- (e) I/We have funds or additional securities available should a margin call be made.
- (f) I/We understand that my securities may be sold to clear a margin call.
- (g) I/We acknowledge that I/we have made a declaration (before executing this Application Form) that any credit to be provided pursuant to the Margin Lending Facility is to be used primarily for business and/or investment purposes. I/We confirm that I/we read and understood the declaration.
- (h) I/We understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.
- (i) I/We have obtained the necessary consent and authorisation to allow disclosure and use of information provided in the Tax Residency Self Certifications.
- (j) I/We will notify Leveraged Equities Finance Limited of any changes to any information within 30 days of the change occurring and, where required, will provide Leveraged Equities with a new self-certification of tax residency.

In accordance with the Privacy Act 1993, Leveraged Equities Finance Limited is authorised to:

- (a) Collect and hold personal information about me/us for the purposes of carrying out my/our instructions, administering my/our account, operating the Margin Lending Facility and for Leveraged Equities Finance Limited's own marketing purposes.
- (b) Record all telephone conversations between me/us and Leveraged Equities Finance Limited for the purpose of verification of instructions, administrative and training purposes.
- (c) Disclosure information about me/us where required under any relevant regulations or legislation and to any of the people set out in the Brochure.
- (d) Disclosure information about me/us to the authorised agents named above and any Guarantor. I/We agree that margin calls may be made to the authorised agents named in Section 10. Authorised Agents/ Alternate Contacts.
- (e) Request me/us at any time to provide the names of one or more credit references to assist in assessing my/our credit worthiness, and to exchange credit information about me/us with them and with credit reporting agencies at any time.
- (f) Terminate my/our account with Leveraged Equities Finance Limited and/or suspend its services to me/us if I/we or any Guarantor fails to provide Leveraged Equities Finance Limited with any relevant information that it requests from me/us or any Guarantor.
- (g) Collect, hold, and disclose any personal information about me/us, any beneficial owner of me/us, or any authorised agent that has been provided to you for the purposes of you meeting your obligations under any laws described in clause 17.22 of the terms and conditions contained in the Brochure.

I am/We are entitled to see, and to have corrected any information Leveraged Equities Finance Limited holds about me/us. I/We agree that, where I/we have given an email address in this Application Form, Leveraged Equities Finance Limited can send formal notices to me/us at that email address.

14. SIGNATURE AND DISCLOSURE *continued*

Instructions for Signing

- **Every person** named as one of the **Account Holders** must sign below
- At least two Directors must sign on behalf of a Company, unless the Company only has one Director in which case the Director's signature must be witnessed as set out below
- Where a person signs on behalf of another as their Attorney, an **original certified copy** of the **Power of Attorney** must be provided, and a signed and completed copy of a *Certificate of Non-revocation of Power of Attorney* must accompany this Application Form

Name:

Name:

Signature:

Signature:

Date:

DAY		MONTH			YEAR		

Date:

DAY		MONTH			YEAR		

Name:

Name:

Signature:

Signature:

Date:

DAY		MONTH			YEAR		

Date:

DAY		MONTH			YEAR		

WITNESS (if a Company has only one Director then the Director's signature must be witnessed as set out below)

Name of Witness:

Occupation:

Address:

Street No./Name/PO Box:

Suburb/RD No.:

Mail Centre.:

Town/City:

Postcode:

Signature:

Date:

DAY		MONTH			YEAR		

15. GUARANTORS

All company applicants must be guaranteed

I/We understand that by signing below I/we unconditionally and irrevocably guarantee to Leveraged Equities Finance Limited the payment of all monies due under the Margin Lending Facility set out in Leveraged Equities Finance Limited's "Make the Most of Your Potential" brochure ("the Brochure") and any other transaction document when they are due and the performance of all obligations under the Margin Lending Facility and any other transaction document. If the applicant named in section 1. Applicant ("the Borrower") does not pay Leveraged Equities Finance Limited any monies when due, I/we will pay as detailed in the Brochure.

I/We acknowledge that I/we have received a copy of the Brochure. I/We have read and understood the Brochure and agree to be bound by the terms and conditions contained in it.

I/We as Guarantor agree that Leveraged Equities Finance Limited may seek from a credit reporting agency, a credit report containing personal information about me/us to assess whether to accept me/us as Guarantor for credit applied for, or provided to, the Borrower.

I/We as Guarantor declare that:

- (a) all amounts payable to the issuer of the Securities have been paid and no issuer holds a lien over the Securities; and
- (b) all the information I/we have given you is correct and not misleading; and
- (c) I/we will provide you with any information or documents that you may require; and
- (d) I/we have not withheld any information that might have caused you not to enter into the transaction documents with the Borrower or the guarantee with me/us; and neither I/we nor any other person breach any law or any obligation by entering into the guarantee; and my/our obligations under the guarantee are valid and binding; and
- (e) I/we have taken such independent financial and legal advice as I/we think fit prior to entering into the guarantee; and
- (f) I/we will make sure that any new or existing director of the Borrower promptly joins any guarantee if you ask; and
- (g) I/we will promptly pay all amounts due to the issuer of the Securities which might result in the issuer having a lien over the Securities; and
- (h) I/we shall do everything necessary to ensure the Securities are not liable to be forfeited; and
- (i) I/we shall not permit or allow any act or omission to occur, which may result in any of your rights or

remedies being prejudiced or adversely affected; and

- (j) I/we will tell you if anything has happened which prevents me/us repeating any one or more of the above declarations at any time.

In accordance with the Privacy Act 1993, Leveraged Equities Finance Limited is authorised to:

- (k) Collect and hold personal information about me/us for the purposes of my/our guarantee, administering the Borrower's account, operating the Margin Lending Facility and for Leveraged Equities Finance Limited's own marketing purposes.
- (l) Record all telephone conversations between me/us and Leveraged Equities Finance Limited for administrative and training purposes.
- (m) Disclose information about me/us where required under any relevant regulations and legislation and to any of the people set out in the Brochure.
- (n) Disclose information about me/us to the Borrower and/or the authorised agents named in section 10.
- (o) Request me/us at any time to provide the names of one or more credit references to assist in assessing my/our credit worthiness, and to exchange credit information about me/us with them and with credit reporting agencies at any time.
- (p) Terminate the Borrower's account with Leveraged Equities Finance Limited and/or suspend its services to the Borrower if I/we fail to provide Leveraged Equities Finance Limited with any relevant information that it requests from me/us.

I/We am/are entitled to see, and to have corrected any information Leveraged Equities Finance Limited holds about me/us.

I/We agree that, where I/we have given an email address in this Application Form, Leveraged Equities Finance Limited can send formal notices to me/us at that email address.

I/We agree that if Leveraged Equities Finance Limited approves the Borrower's application for credit, this guarantee remains in force until the Margin Lending Facility covered by the Borrower's application and any other transaction document terminates, all amounts due under the Margin Lending Facility and any other transaction document have been paid in full and I/we are formally released from my/our guarantee obligations.

15. GUARANTORS *continued*

SIGNED as a deed by the Guarantor(s):

Guarantor Name:
.....

Guarantor Name:
.....

Signature:
.....

Signature:
.....

Date:

DAY	MONTH		YEAR						

Date:

DAY	MONTH		YEAR						

Occupation:
.....

Occupation:
.....

Address:
.....

Address:
.....

Address:
.....

Address:
.....

City/Town of Residence:
.....

City/Town of Residence:
.....

IN THE PRESENCE OF:

Full Name of Witness:
.....

Full Name of Witness:
.....

Signature:
.....

Signature:
.....

Date:

DAY	MONTH		YEAR						

Date:

DAY	MONTH		YEAR						

Occupation:
.....

Occupation:
.....

Address:
.....

Address:
.....

Address:
.....

Address:
.....

City/Town of Residence:
.....

City/Town of Residence:
.....

16. DECLARATION AS TO PURPOSE

To be completed by all natural persons (including Partners in a Partnership and Trustees of a Trust).

DETAILS OF APPLICATION

Full Name of Applicant ("the Borrower")
.....

Contract to which this declaration relates: **Client Application Form and Margin Lending Facility
Terms and Conditions (together "the Contract")**
.....

The Borrower:

1. Declares that any credit to be provided by Leveraged Equities Finance Limited ("the Company") pursuant to the Contract on acceptance of the Client Application Form is to be used primarily for business or investment purposes (or for both purposes).
2. Confirms that he, she or they has/have read and understood the declaration set out in item 1 above.

Signature:
.....

Signature:
.....

Signature:
.....

Signature:
.....

Date:

DAY		MONTH		YEAR	

INSTRUCTIONS FOR SIGNING:

- Where the Borrower is a Partnership, each Partner must sign.
- Where the Borrower is a Trust, each Trustee must sign.

17. SUPPLEMENTARY APPLICATION SHEETS

I/We have attached the following supplementary application sheets to this Application Form (tick as applicable):

- Applicant supplementary application sheet.
- Acting on behalf of customer (Authorised Person) supplementary application sheet.
- Beneficial owner supplementary application sheet.
- Power of attorney supplementary application sheet.

Checklist

- Fully completed Application Form.
- Any supplementary application sheets as above.
- Establishment fee for applicant(s).
- Copies of all documentation referred to in *Appendix: What do we need as proof of identity?*
- Original bank slips.

Please send your application to:

Leveraged Equities Finance Limited, PO Box 621, Wellington 6140, or deliver to Level 22, NTT Tower, 157 Lambton Quay, Wellington.

APPENDIX: WHAT DO WE NEED AS PROOF OF IDENTITY?

If you are a **Company, Incorporated Society, Incorporated Charitable Trust, or Authorised Company**, we need to see **ALL** these documents:

- A Certificate of Incorporation from an official/independent source
- Confirmation of Directors from an official/independent source
- Confirmation of identity of shareholders from an official/independent source
- The ownership structure, signed and dated by a senior official

If you are a **Partnership, Limited Partnership or an Unincorporated Association**, we need to see a copy of the relevant pages of your Partnership Deed/Agreement which must show:

- the name of your Partnership/Limited Partnership/Unincorporated Association;
- the names of the Partners/Officers;
- the names of other people who can act on behalf of your Partnership/Limited Partnership/Unincorporated Association

What else is required?

We are also required to verify the identity and address of each Director, Partner, Officer, Beneficial Owner and Authorised Person involved with the organisation. These requirements are outlined on the right.

What do you need to provide to set up a direct debit or direct credit to your account?

To set up a direct debit we require a completed Authority to Accept Direct Debits.

To set up a direct credit we require your written instruction to do so.

We also require bank account documentation, for example:

- a bank encoded deposit slip with pre-printed details of bank account name and number;
- a bank statement;
- a verification letter or other document of confirmation provided by the entity's bank.

We are able to pay funds to –

- a bank account in the organisation's name;
- the Inland Revenue Department;
- to an accountant's trust account or solicitor's trust account.

If you are a Director, Partner, Officer, Beneficial Owner or Authorised Person, you need to provide the original for verification, or a certified copy of -

- A current New Zealand Passport
- A current New Zealand Firearms Licence
- Overseas passport or a similar document issued for the purpose of international travel which –

- contains the name, date of birth, a photograph and the signature of the person in whose name the document is issued; and

- is issued by a foreign government, the United Nations or an agency of the United Nations.

- A national identity card issued for the purpose of identification, that –

- contains the name, date of birth and a photograph of the person in whose name the document is issued and their signature or other biometric measure included where relevant; and

- is issued by a foreign government, the United Nations or an agency of the United Nations.

If you can't provide any of those forms of identification, you need to provide the **original** for verification or **certified copies** of your current **New Zealand Driver's Licence** (showing both sides of the Licence)

plus ONE of these documents:

- Your Birth Certificate or Citizenship Certificate
- A Government agency document with your full name and signature (e.g. SuperGold Card)
- A Government agency statement dated within the last 12 months (e.g. IRD statement)
- A document issued by a registered bank showing your name and signature (e.g. credit/debit card, eftpos card)
- A bank statement dated within the last 12 months issued by a registered bank (delivered by mail, not via internet banking)

What do we need as proof of residential address?

We need a copy of **ONE of these documents, dated within the last 12 months** with your name and address displayed on it:

- Utility or Rates bill
- Telephone bill
- Insurance policy
- Signed (by the tenant/s and landlord) tenancy or lease agreement
- Share registry statement
- Credit Card statement
- Bank statement
- Government Agency statement (e.g. IRD Statement)
- Electoral Roll entry
- Online White Pages

What is 'a certified copy' of a document?

A 'certified copy' of a document is one where a trusted referee has viewed the original document and compared it with a scanned or photocopied version. The trusted referee provides a written statement on the copy to the effect that the copy provided is a true and correct copy and represents your identity. The trusted referee's written statement must include their name, occupation, and signature and the date of confirmation. Please note: This confirmation is only valid for three months.

Who is a 'Trusted Referee'?

He or she is someone who:

- is at least 16 years old
- is not your spouse or partner
- is not related to you
- does not live at the same address as you
- is not involved in the business or transaction requiring the certification

They must be a:

- Commonwealth representative
- New Zealand Police Constable
- Justice of the Peace
- Registered Medical Doctor
- Registered Teacher
- Minister of Religion
- Lawyer
- Notary Public
- New Zealand Honorary Consul
- Member of Parliament
- Chartered Accountant
- Kaumātua (both Koroua and Kuia)