

Part A: Client Information Schedule Individual or Joint



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For Office Use Only Account Name:
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Account Number:
.....
Investment Adviser Code:
.....
Secondary Investment Adviser Codes:
.....

Welcome

Thank you for considering Forsyth Barr. Whether you are an experienced investor or just starting out, your Forsyth Barr Investment Adviser can help you to achieve the best mix of investments for your individual requirements today...and tomorrow.

This Client Information Schedule establishes your account through which you can transact your sharebroking and other investment requirements.

Please refer to our Scope of Service documents for a description of the services we provide for private clients. These include a range of services from transaction/execution services, to investment advice, to investment monitoring, to investment management services.

Completing this Schedule

Documentation required to complete this application: Follow the Guide in the Appendix.

Your Client Agreement comprises two parts:

Part A: Client Information Schedule

Part B: Terms and Conditions (including, where relevant, any Client Profile document you complete and any Supplementary Agreement)

Should you have any queries about completing this Client

Section A: Applicant Details

Primary Applicant Details

Individual or First Joint Applicant. The Primary Applicant will be the first point of contact for this Account.

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

Mr
 Ms
 Mrs
 Miss
 Dr

Full Name:

Preferred Name:

Date of Birth:
Country of Birth:

DAY MONTH YEAR

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):

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 Primary Applicant 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:

Occupation:

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 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 Forsyth Barr's products and services by email.

Individual Status: If you are applying to open both Individual and Joint accounts, the Account Holders will be bound by the Terms and Conditions of your Client Agreement as both Individual and Joint Account Holders.

If Joint, do you also wish to open an Individual account for this applicant? Yes No

Section A: Applicant Details *(continued)*

Primary Applicant Details *(continued)*

Other Information

Are you a member of the Summer KiwiSaver scheme?

Yes No

Are you a member of another KiwiSaver scheme?

Yes No

Provider:

Type of fund: Default Defensive Conservative Balanced Growth Active Growth

Superannuation/Pensions:

Do you have any Australian Superannuation?

Yes No

Do you have a UK pension?

Yes No

Would you like to be contacted regarding either your UK Pension or Australian Superannuation?

Yes No

Do you have any other overseas pensions?

Yes No

Website Access

Please tick if you do **not** want to be registered for website access to your account

Section A: Applicant Details *(continued)*

Second Joint Applicant Details

Mr
 Ms
 Mrs
 Miss
 Dr

Full Name:

Preferred Name:

Date of Birth:
Country of Birth:

DAY MONTH YEAR

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 Joint Applicant 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: Same as primary applicant

Street No./Name:

Suburb/RD No.:

Town/City: Postcode:

Country: New Zealand

Mailing Address: Same as primary applicant

Street No./Name/PO Box:

Suburb/RD No.: Mail Centre:

Town/City: Postcode:

Country: New Zealand

Phone Work: Phone Home:

Phone Mobile: Fax:

Email:

Occupation:

If Joint, do you also wish to open an Individual account for this applicant? Yes No

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

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 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 Forsyth Barr's products and services by email.

Individual Status: If you are applying to open both Individual and Joint accounts, the Account Holders will be bound by the Terms and Conditions of your Client Agreement as both Individual and Joint Account Holders.

Section A: Applicant Details *(continued)*

Second Joint Applicant Details *(continued)*

Other Information

Are you a member of the Summer KiwiSaver scheme?

Yes No

Are you a member of another KiwiSaver scheme?

Yes No

Provider:

Type of fund: Default Defensive Conservative Balanced Growth Active Growth

Superannuation/Pensions:

Do you have any Australian Superannuation?

Yes No

Do you have a UK pension?

Yes No

Would you like to be contacted regarding either your UK Pension or Australian Superannuation?

Yes No

Do you have any other overseas pensions?

Yes No

Website Access

Please tick if you do **not** want to be registered for website access to your account

Section A: Applicant Details *(continued)*

Third Joint Applicant Details

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

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

Full Name:

Preferred Name:

Date of Birth: / /
Country of Birth:

DAY MONTH YEAR

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):

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 Joint Applicant 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: Same as primary applicant

Street No./Name:

Suburb/RD No.:

Town/City: Postcode:

Country: New Zealand Other (please state):

Mailing Address: Same as primary applicant

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:

Occupation:

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 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 Forsyth Barr's products and services by email.

Individual Status: If you are applying to open both Individual and Joint accounts, the Account Holders will be bound by the Terms and Conditions of your Client Agreement as both Individual and Joint Account Holders.

If Joint, do you also wish to open an Individual account for this applicant? Yes No

Section A: Applicant Details *(continued)*

Third Joint Applicant Details *(continued)*

Other Information

Are you a member of the Summer KiwiSaver scheme? Yes No

Are you a member of another KiwiSaver scheme? Yes No

Provider:

Type of fund: Default Defensive Conservative Balanced Growth Active Growth

Superannuation/Pensions:

Do you have any Australian Superannuation? Yes No

Do you have a UK pension? Yes No

Would you like to be contacted regarding either your UK Pension or Australian Superannuation? Yes No

Do you have any other overseas pensions? Yes No

Website Access

Please tick if you do **not** want to be registered for website access to your account

Section B: Authorised Persons

This section only needs to be completed if you:

- i) wish to nominate someone to instruct on your account in addition to the Applicant(s) recorded in Section A, or
- ii) are opening an account for a Minor.

Unless you are the Authorised Person of a Minor, or hold a current Power of Attorney over the Account Holder(s), your instructions will be limited to investment instructions only. As such, any change to account or settlement details will need to be instructed by the Account Holder. Please see Section D of our Terms and Conditions for more details.

First Authorised Person Details

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

Full Name:

Relationship to Applicant:

Date of Birth:
 Country of Birth:

DAY MONTH YEAR

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:

Tax Details

This only needs to be completed if you are the parent and/or guardian of a Minor, or hold a current Power of Attorney over the Account Holder(s).

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.

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 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 Forsyth Barr's products and services by email.

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 Authorised Person 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

Section B: Authorised Persons *(continued)*

Second Authorised Person Details

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

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

Full Name:

Relationship to Applicant:

Date of Birth:

 Country of Birth:

DAY MONTH YEAR

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:

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 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 Forsyth Barr's products and services by email.

Tax Details

This only needs to be completed if you are the parent and/or guardian of a Minor, or hold a current Power of Attorney over the Account Holder(s).

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):

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.

Is the Authorised Person 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

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.

Please note, all Authorised Person(s) must provide their details above and sign *Section O: Declaration and Signatures*.

Section C: Listed Entity Director/Officer Details

Is any person who is signing this Agreement a Director or Officer of an entity that has securities listed on any Recognised Securities Exchange?
 If 'Yes', please complete the Director/Officer details below.

Yes No

Listed Entity Director/Officer Details

| | |
|--------------------------------|---------------------|
| Director/Officer Name: | |
| Relationship to Listed Entity: | Listed Entity Name: |
| Director/Officer Name: | |
| Relationship to Listed Entity: | Listed Entity Name: |
| Director/Officer Name: | |
| Relationship to Listed Entity: | Listed Entity Name: |

Section D: 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 the Applicant(s) (or a person who has an interest in, or who is an Authorised Person on the Account) 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:

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.

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

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

Please provide details of the source of any funds to be paid into your account with Forsyth Barr:

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

Section D: Anti-Money Laundering and Tax Disclosures *(continued)*

Overseas Residents

This section is mandatory if your current residential address is in a country other than New Zealand.

Please provide details of the origin of your wealth:

Origin of Wealth: A detailed description of the activity which has generated your net worth, e.g. employment earnings (please specify the nature of your 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 Forsyth Barr account e.g. electronic transfer from your New Zealand bank account.

Please provide details of the source of any funds to be paid at account opening into your account with Forsyth Barr 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:

Section E: NZX Prescribed Person Confirmation

As an NZX Market Participant, Forsyth Barr Limited is prohibited under the NZX Participant Rules from buying or selling securities for a Prescribed Person of any other NZX Firm.

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

This will be an account for a Prescribed Person 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).

Please confirm that none of the above apply:

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

Section F: Registration Details

Registration Name: Please complete this section **ONLY** if you wish the Registration Name to be different to the name(s) recorded in Section A.

Registration Address: Please complete this section **ONLY** if you wish the Registration Address to be different to the Mailing Address recorded in Section A.

| | |
|--|--------------|
| Registration Name: | |
| Registration Address: | |
| Street No./Name/PO Box: | |
| Suburb/RD No.: | Mail Centre: |
| Town/City: | Postcode: |
| Country: <input type="radio"/> New Zealand <input type="radio"/> Other (please state): | |
| Common Shareholder Number (CSN) (if available): | 3 3 |

Section G: Tax Details

RWT Rate: If a valid IRD number is not provided, the default withholding tax rate of 45% will be applied.

Exempt: Please attach Exemption Certificate to this Schedule.

Prescribed Investor Rate: A PIR is the tax rate that the PIE you invest in can use to calculate the tax on the income it derives from investing your contributions, if you have also provided your IRD number. If a PIR is not selected the default PIR of 28% will be applied.

Foreign Investment Fund (FIF): A FIF calculation is required for foreign share investments (and can apply to certain other foreign investments) which do not meet the relevant FIF exemption criteria. There are various exemptions from the FIF rules. One exemption can apply to a New Zealand resident individual whose FIF investments cost \$50,000 or less. Another exemption relates to Australian resident listed companies which meet certain criteria. Investments which meet the relevant FIF exemption criteria are generally taxed on dividends only, if the investment is held on capital account. For all other investments in foreign companies FIF calculations are generally required. Please consult your tax adviser if you are unsure of the position.

Non-Resident Withholding Tax Rate: The appropriate Non-Resident Withholding Tax Rate will be applied based on your country of residence.

New Zealand Tax Residents

Resident Withholding Tax Rate (RWT): Exempt 10.5% 17.5% 30%
 33% 39%

Prescribed Investor Rate (PIR) Primary Applicant: 10.5% 17.5% 28%

Prescribed Investor Rate (PIR) Second Joint Applicant: 10.5% 17.5% 28%

Prescribed Investor Rate (PIR) Third Joint Applicant: 10.5% 17.5% 28%

For further information on selecting the appropriate RWT or PIR, please refer to www.ird.govt.nz. Please advise Forsyth Barr should your tax details change.

Foreign Investments Fund (FIF)

Do you hold investments which are subject to the Foreign Investment Fund (FIF) Rules? Yes No

Overseas Tax Residents

Please apply the Approved Issuer Levy (2%), where applicable, to approved interest-bearing investments. The default Prescribed Investor Rate (PIR) for non-residents is 28%.

Section H: Settlement Details

Contract Notes will be sent to the email address provided in *Section A. Primary Applicant Details*.

I prefer to settle my account by: Forsyth Barr Cash Management Bank Account

For direct debits, complete the *Authority to Accept Direct Debits form* located at the back of this document.

For direct credits (i.e. to set up payments to a bank account), we require bank account documentation. Select from the list below:

- 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 your bank.

Details of the bank account that you would like to make payments to:

Bank Account payments:
We are able to pay funds to –

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

New Zealand

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|-----------------------|--|--|--|--------|--|--|--|----------------|--|--|--|--------|--|--|--|--|--|--|--|--|------|--|--|--|--------|--|--|--|----------------|--|--|--|--------|--|--|--|
| Name of Bank Account: | Bank: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Bank Account Number: | <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td> </tr> <tr> <td colspan="4">BANK</td> <td colspan="4">BRANCH</td> <td colspan="4">ACCOUNT NUMBER</td> <td colspan="4">SUFFIX</td> </tr> </table> | | | | | | | | | | | | | | | | | | | | BANK | | | | BRANCH | | | | ACCOUNT NUMBER | | | | SUFFIX | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| BANK | | | | BRANCH | | | | ACCOUNT NUMBER | | | | SUFFIX | | | | | | | | | | | | | | | | | | | | | | | | |

International

| | | | | | | | | | | | | | | | | | | | | |
|-----------------------|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Name of Bank Account: | Bank: | | | | | | | | | | | | | | | | | | | |
| Bank Account Number: | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td><td style="width: 12.5%;"> </td> </tr> </table> | | | | | | | | | | | | | | | | | | | |
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Australia

BSB Code:

United States

Fedwire/ABA Number:

SWIFT:

United Kingdom

Sort Code:

Other Currencies:

SWIFT:

Euro:

IBAN Number:

SWIFT/BIC Code:

| |
|--------|
| Other: |
|--------|

Section I: Cash Management Service

Should you wish to make an initial deposit via the Forsyth Barr Cash Management service, please indicate the amount and currency in which you wish to invest.

Currency: NZD AUD USD GBP CAD EUR

Amount: \$

Please check the current rate schedule applicable to your investment or contact your Investment Adviser.

Section J: Custody Service

Custodial Fee: To be negotiated between Forsyth Barr and you at the time of entering this Client Agreement.

Financial Arrangement Rules:

The definition of "Financial Arrangements" captures a wide range of debt instruments including bank accounts, bonds and loans. In broad terms, a person is required to use a spreading method under the Financial Arrangement rules to allocate income or expenditure to an income year if:

- The absolute value of the person's income and expenditure in the income year under financial arrangements to which the person is a party is greater than NZ\$100,000; and
- On any day in the income year the absolute value of all the financial arrangements to which the person is a party to, added together, is greater than NZ\$1,000,000; or
- The impact of using a spreading method, as opposed to the cash basis, is greater than NZ\$40,000.

Would you like Forsyth Barr to provide its custody services for your investment assets to be held in safe keeping on your behalf? Yes No

If 'Yes', please refer to *Part B: Terms and Conditions, Section B: Safe Custody and Custodial Service Terms and Conditions.*

Custodial Fee

By Schedule Fixed Rate (Percentage of Portfolio): % Per Annum

Fixed Amount (NZD): \$ Per Annum

Are you subject to a spreading method under the Financial Arrangement Rules? Yes No

Section K: Professional Advisers

Please complete the details below for any party (e.g. Accountant, Lawyer) whom you wish to nominate to receive financial information upon request. A Professional Adviser is not authorised to give instructions to transact on the account.

First Professional Adviser details

Mr Ms Mrs Miss Dr

Full Name:

Role:

Firm:

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:

Email:

Second Professional Adviser details

Mr Ms Mrs Miss Dr

Full Name:

Role:

Firm:

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:

Email:

Section K: Professional Advisers *(continued)*

Third Professional Adviser details

Mr
 Ms
 Mrs
 Miss
 Dr

Full Name:

Role:

Firm:

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.: Mail Centre:

Town/City: Postcode:

Country: New Zealand

Phone Work: Phone Mobile:

Email:

Fourth Professional Adviser details

Mr
 Ms
 Mrs
 Miss
 Dr

Full Name:

Role:

Firm:

Mailing Address:

Street No./Name/PO Box:

Suburb/RD No.: Mail Centre:

Town/City: Postcode:

Country: New Zealand

Phone Work: Phone Mobile:

Email:

Section L: Investment Services

There are six levels of wealth management services available which vary according to the level of assistance you are seeking. Please refer to the relevant Forsyth Barr Scope of Service document. Please consider and select a service that suits your requirements.

- Investment Transaction Service:** Buying and selling investments at your instruction, with access to research on markets, securities and financial products.
- Investment Advisory Service:** Personalised advice, limited to consideration of your selected investment profile, regarding your investments and financial products, with access to research on markets, securities and financial products.
- Managed Fund Advisory Service:** Personalised advice, limited to managed funds from our selected range, based on agreed investment objectives. We don't advise on other investment opportunities under this service.
- KiwiSaver Advice Service:** Non-personalised or personalised advice, based on your existing investment in either of the Summer KiwiSaver Scheme or the Westpac KiwiSaver Scheme, or to transfer your existing KiwiSaver account to either of these KiwiSaver schemes. We don't advise on other investment opportunities or other KiwiSaver schemes under this service.
- Premium Advisory Service:** Personalised advice, with ongoing monitoring of your investments, a complete administration service, regular reporting to you and access to research on markets, securities and financial products.
- Private Portfolio Management Service:** Management and administration of your investments on your behalf, based on discretion authorised by you and within agreed parameters, accompanied by regular reporting to you.

We will record your Account as an Investment Transaction service account in the absence of any selection.

For the Premium Advisory Service, Private Portfolio Management Service, Managed Fund Advisory Service or KiwiSaver Advice Service (personalised advice), you will also need to complete a Client Profile. Your Forsyth Barr Investment Adviser will then discuss an Investment Plan with you, or provide a Statement of Advice. The information requested in the Client Profile enables us to take your specific circumstances into account when providing investment advice and other personalised financial adviser services to you. It is important that we have sufficient information collected to enable us to provide you with appropriate advice.

In the case of the Investment Advisory Service, you will need to select an investment profile, based on a standard questionnaire that asks about your investing experience, investment horizon and attitude to risk.

Please contact your Investment Adviser should you wish to discuss the above.

Section M: Basis of Service

We will provide services on the Terms and Conditions set out in this Client Agreement, and on the basis of the Scope of Service for the relevant service, each as updated from time to time.

Forsyth Barr produces and accesses research and other investment information, from various internal and external sources, which also provides a basis for our advice and services.

Before acting on any advice or recommendations, you should always consider the appropriateness of the advice or recommendations having regard to your specific circumstances.

Unless otherwise agreed or the service selected provides otherwise, you are responsible for the ongoing monitoring of your investments.

For more details regarding the basis of service, and the principal benefits and risks of investing and financial advice, please refer to the Terms and Conditions set out in this Client Agreement. It is important you read and understand the Scope of Service and Section D of the Terms and Conditions regarding basis of service, principal benefits and risks of investing and financial advice, and discuss any matters with your Investment Adviser.

Section N: Declaration and Signatures

By signing this Client Agreement I/we agree as follows:

- I/We confirm that all details set out in this Client Information Schedule are correct and not misleading (including by omission).
- I/We agree that I/we have received copies of the Forsyth Barr Limited Terms and Conditions and the Scope of Service applicable to my account.
- I/We agree that I/we have received a copy of the Advice Information Statement applicable to my account.
- I/We agree to all the Terms and Conditions set out in Part B of this Client Agreement.
- I/We agree that I/we have not been declined service by any other Financial Services Providers or been declared bankrupt.
- I/We agree that if Individual and Joint accounts are opened I/we will be bound by the Terms and Conditions of this Client Agreement as both Individual and Joint account holders.
- I/We authorise that any person named as a person authorised to act on my/our behalf may give instructions to transact any Securities business on my/our behalf.
- I/We agree that where there is more than one of us, the instructions of any one of us will be sufficient authority for you to act on those instructions.
- I/We confirm that we have read Part B: Terms and Conditions, especially Section E: Basis of Service and Risks of Investing.
- I/We confirm that Forsyth Barr Limited has drawn my/our attention to Section A, Clause 8 (Bringing Orders to Market) contained in Part B: Terms and Conditions.
- I/We confirm that a Forsyth Barr Cash Management Account will be opened as part of this account set-up.
- I/We have consulted an independent adviser where necessary and acknowledge Forsyth Barr does not provide tax advice.
- I/We understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.
- I/We will notify Forsyth Barr of any changes to any information within 30 days of the change occurring and, where required, will provide Forsyth Barr with a new tax self-certification.

Instructions for Signing

- **Every person** named as one of the **Account Holders** or as an **Authorised Person** must sign 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 **certificate of non-revocation of power of attorney** must accompany this Client Information Schedule.

| | | | | | | | | | | | | | | | | | | | | | |
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Authority to Accept Direct Debits

Not to operate as an assignment or an agreement

Account Number: Please note your Forsyth Barr account number can be either seven or eight digits long.

Account Name:

Account Number:

AUTHORISATION CODE

Bank Instructions

Name of Bank Account:

Bank Account from which payments are to be made:

BANK BRANCH ACCOUNT NUMBER SUFFIX

Bank Name:

To: The Bank Manager,

I/We authorise you until further notice, to debit my/our account with all amounts which **Forsyth Barr Limited** client funds (hereinafter referred to as the Initiator) the registered Initiator of the above Authorisation Code, may initiate by Direct Debit. I/We acknowledge and accept that the Bank accepts this authority only upon the conditions listed below.

Information to appear on my/our Bank Statement:

Payer Particulars:

Payer Reference:

Payer Code:

| | |
|----------|-------|
| Approved | |
| 1289 | 11/04 |

Required Signatures: All Account Holders must sign this authority.

Signature:

Date:

DAY MONTH YEAR

Signature:

Date:

DAY MONTH YEAR

Signature:

Date:

DAY MONTH YEAR

Conditions Of This Authority

1. The Initiator:
 - (a) Has agreed to send notice of the net amount of each Direct Debit no less than the date the Direct Debit is initiated. This notice will be provided either:-
 - (i) in writing; or
 - (ii) by electronic mail where the Customer has provided prior written consent to the Initiator.
The notice will include the following message:- The amount of \$ was direct debited to your Bank account on (initiating date).
 - (b) May, upon the relationship which gave rise to this Authority being terminated, give notice to the Bank that no further Direct Debits are to be initiated under the Authority. Upon receipt of such notice the Bank may terminate this Authority as to future payments by notice in writing to me/us.
 - (c) May, upon receiving an "authority transfer form" (dated after the date of this authority) signed by me/us and addressed to a bank to which I/we have transferred my/our bank account, initiate Direct Debits in reliance of that transfer form and this Authority from the account identified in the authority transfer form.
 - (d) Agrees, if the bank dishonours a direct debit but sends the direct debit again within 5 business days of the dishonour, is not required to give I/we a second notice of the amount and date of the direct debit.
2. The Customer may:
 - (a) At any time, terminate this Authority as to future payments by giving notice of termination to the Bank and to the Initiator.
 - (b) Stop payment of any Direct Debit to be initiated under this Authority by the Initiator by giving written notice to the Bank prior to the Direct Debit being paid by the Bank.
 - (c) Where a variation to the amount agreed between the Initiator and the Customer from time to time to be direct debited has been made without notice being given in terms of clause 1(a) above, or notice is received, but the amount or the date of debiting is different from the amount or the date specified on the notice, request the Bank to reverse or alter any such Direct Debit initiated by the Initiator by debiting the amount of the reversal or alteration of a Direct Debit back to the Initiator through the Initiator's Bank PROVIDED such request is made not more than 120 days from the date when the Direct Debit was debited to my/our account.
3. The Customer acknowledges that:
 - (a) This Authority will remain in full force and effect in respect of all Direct Debits passed to my/our account in good faith notwithstanding my/our death, bankruptcy or other revocation of this Authority until actual notice of such event is received by the Bank.
 - (b) In any event this Authority is subject to any arrangement now or hereafter existing between me/us and the Bank in relation to my/our account.
 - (c) Any dispute as to the correctness or validity of an amount debited to my/our account shall not be the concern of the Bank except in so far as the Direct Debit has not been paid in accordance with this Authority. Any other disputes lies between me/us and the initiator.
 - (d) Where the Bank has used reasonable care and skill in acting in accordance with this authority, the Bank accepts no responsibility or liability in respect of:
 - the accuracy of information about Direct Debits on Bank statements.
 - any variations between notices given by the Initiator and the amounts of Direct Debits.
 - (e) The Bank is not responsible for, or under any liability in respect of the Initiator's failure to give notice in accordance with 1(a) nor for the non-receipt or late receipt of notice by me/us for any reason whatsoever. In any such situation the dispute lies between me/us and the Initiator.
4. The Bank may:
 - (a) In its absolute discretion conclusively determine the order of priority of payment by it of any monies pursuant to this or any other Authority or draft properly executed by me/us and given to or drawn on the Bank.
 - (b) At any time terminate this Authority as to future payments by notice in writing to me/us.
 - (c) Charge its current fees for this service in force from time-to-time.
 - (d) Upon receipt of an "authority to transfer form" signed by me/us from a bank to which my/our account has been transferred, transfer to that bank this Authority to Accept Direct Debits.

Acceptance of this Client Agreement is deemed by the Applicants signing this Client Information Schedule.

Appendix: What do we need as proof of identity?

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)

Where you are a minor (under 18 years old), we are required to verify that any person holding themselves out as the parent/guardian of the minor has the authority to act on behalf of the minor. In order for us to do this, please provide a certified copy of any of the following documents as applicable:

- Birth Certificate
- Adoption papers
- Guardianship form -
 - Court-Appointed guardian
 - Testamentary guardian
 - Guardianship of the court
- Government department documentation that confirms caregiver/ guardianship

If we are unable to clearly identify that you are the parent/guardian of the minor and can act on their behalf, we will require additional information to be provided.

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

What do we need as proof of residential address for a minor?

We do not need proof of residential address for the minor if they live with their parent or guardian. Where the minor does not live with their parent or guardian, the documents required as proof of address for the minor are listed above.

What else is required?

We are also required to verify the identity and address of each of the minor's Parents and/or Guardians. These requirements are outlined on the left and above.

What do you need to do to set up a direct debit or direct credit to your Forsyth Barr 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 your bank.

We are able to pay funds to –

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

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
- Kaumatua

forsythbarr.co.nz

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