Change in Investment Service

Account Name:

Account Number: | | | | | | | |

Investment Services section: Please complete this in conjunction with your Investment Adviser.

Investment Services

Forsyth Barr provides four levels of Private Client Services which vary according to the level of assistance you are seeking. Please refer to the accompanying Forsyth Barr Scope of Service document. This document summarises the features of Class and Personalised Service according to the Code of Professional Conduct for Authorised Financial Advisers.

Current Service

We currently have you recorded as receiving the following Investment Service:

Investment Service	***Custody***	
◯ Investment Transaction Service	◯ Yes	◯ No
◯ Investment Advisory Service	◯ Yes	◯ No
◯ Premium Advisory Service		
◯ Private Portfolio Management		

◯ Please tick if you wish to retain your current investment service.

Retain your current investment service: As the Premium Advisory Service **(PAS)** is a personalised service, any additional accounts you hold in your name will also need to be a personalised service. This means that if you want to retain your Investment Transaction Service **(ITS)** account when changing to PAS, your ITS account will be changed to the Investment Advisory Service.

New Service

Please indicate below which Investment Service you wish to change to:

A. Class Service

◯ *Investment Transaction Service:* Buying and selling investments at your instruction, with access to research on markets, securities and financial products.

Plus:

◯ Custodial Service option - a custodial service providing for your investment assets to be held in safe keeping on your behalf. Please refer to the accompanying Terms and Conditions, Section B: Safe Custody and Custodial Service Terms and Conditions.

B. Personalised Financial Adviser Services

These services are specific to you. Any advice provided to you (or discretion exercised) will be determined as suitable for you based on your financial situation, financial needs, financial goals and tolerance for risk. In order to receive these services and personalised advice, you must complete a Client Profile providing details of your personal circumstances, investment goals and risk profile.

◯ *Investment Advisory Service:* Personalised advice, when required, regarding your investments and financial products, with access to research on markets, securities and financial products.

Plus:

◯ Custodial Service option - a custodial service providing for your investment assets to be held in safe keeping on your behalf. Please refer to the accompanying Terms and Conditions, Section B: Safe Custody and Custodial Service Terms and Conditions.

◯ *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. This service includes custody of your investment assets.

◯ *Private Portfolio Management:* 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. This service includes custody of your investment assets.

Please turn over

FORSYTH BARR

CLF6028-01 - November 2019

Personalised Financial Adviser Services accounts only

(not applicable for Private Portfolio Management accounts)

(a) Suitability Determination

In accordance with the Code of Professional Conduct for Authorised Financial Advisers, we are required to determine the suitability of advice provided to you, based on the information provided by you. In determining the suitability of advice provided, we are required to obtain a sufficiently reasonable understanding of your financial situation, financial needs, financial goals and tolerance for risk.

If you do not want or require suitability of advice, you may opt out of this requirement. If you opt out of this requirement, we will not refer to your Client Profile when giving you advice, and any recommendations or opinions made may therefore be inconsistent with your financial situation, financial needs, financial goals and tolerance for risk.

Do you wish your Investment Adviser to undertake suitability determinations?

- ◯ **No** (suitability determinations not required)
- ◯ **Yes** (you are required to complete our Client Profile to ensure any advice we provide you is suitable for you)

(b) Client Profile

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. A Client Profile document can be obtained at www.forsythbarr.co.nz or you may obtain a hard copy from your Investment Adviser.

Signatures

- **ALL** 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.

I/We agree that I/we have referred to the Forsyth Barr Limited Terms and Conditions and Scope of Service.

I/We authorise Forsyth Barr Limited to make the change to my/our Investment Service in accordance with the instructions in this document.

Name:

Signature: Date: DAY MONTH YEAR

Name:

Signature: Date: DAY MONTH YEAR

Name:

Signature: Date: DAY MONTH YEAR

Name:

Signature: Date: DAY MONTH YEAR

For Office Use Only

Custodial Fee

By Schedule:

Fixed Amount (NZD): $ Per Annum

Fixed Rate (% of Portfolio): % Per Annum

Reporting Series: New Account Number: