

To: KVB Kunlun New Zealand Limited /
KVB Kunlun Securities (NZ) Limited
Level 10, Tower 1, 205 Queen Street
Auckland, New Zealand



KVB Kunlun
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Account No.: _____

Self-Certification Form – Controlling Person

Important Notes:

- This is a self-certification form provided by a Controlling Person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A Controlling Person should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- If you have any questions about this form, please contact our Customer Service team on +64 9 359 8985 or +86 400 8888 822.

Part 1 Identification of a Controlling Person

(1) Name of Controlling Person

Title (e.g. Mr, Mrs, Ms, Miss) _____
Last Name or Surname(s) _____
First or Given Name(s) _____
Middle Name(s) _____

(2) Current Residence Address

Line 1 (Suite, Floor, Building, Number, Street) _____
Line 2 (City) _____
Line 3 (Province, State) _____
Country _____
Post Code/ZIP Code _____

(3) Mailing Address (Complete if different to the current residence address)

Line 1 (Suite, Floor, Building, Number, Street) _____
Line 2 (City) _____
Line 3 (Province, State) _____
Country _____
Post Code/ZIP Code _____

(4) Date of Birth (dd/mm/yyyy) _____

Part 2 The Entity Account Holder(s) which you are a controlling person

Enter the name of the entity account holder of which you are a controlling person.

Entity	Name of the Entity Account Holder
(1)	
(2)	
(3)	

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

Complete the following table indicating (a) the jurisdiction of residence (including New Zealand) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the controlling person is a tax resident of China, the TIN is the China National Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

Reason B – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4 Type of Controlling Person

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 5 Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the New Zealand Inland Revenue Department and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information.

I certify that I am the controlling person / I am authorised to sign for the controlling person[#] of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise KVB Kunlun New Zealand Limited &/or KVB Kunlun Securities (NZ) limited (collectively known as KVB) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide KVB with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Signature _____
Name _____
Capacity _____ (Indicate the capacity if you are not the individual identified in
Date (dd/mm/yyyy) _____ Part 1. If signing under a power of attorney, attach a certified
copy of the power of attorney.)

Delete as appropriate

Note: Term definitions and further details can be found within the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information (AEOI) and NZ IRD website. Please access the information from the following links: <http://www.oecd.org/tax/automatic-exchange/>, <http://www.ird.govt.nz/international/exchange/crs/crs-index.html>. Please contact your tax adviser or local tax authority if you have any questions.

WARNING: Under section 142I(2)(a)-(h) of the Tax Administration Act 1994, a civil penalty of \$1,000 can be imposed on an information provider for each offence relating to a request for information (e.g. providing a false self-certification or not providing a self-certification within a reasonable period of time).

Under section 185P of the Tax Administration Act 1994, customers and other relevant persons or entities are required to provide updates to the financial institutions on any material change in circumstances that they are aware of that may affect their status as a reportable person.