

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



Account No.: _____

Self-Certification Form – Entity

Important Notes:

- This is a self-certification form provided by an account holder 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.
- An account holder should report all changes in its 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 Entity Account Holder

(For joint or multiple account holders, complete a separate form for each entity account holder.)

- (1) **Name of legal entity** _____
- (2) **Jurisdiction of Incorporation or Organisation** _____
- (3) **Current Business Address**
- Line 1 (Suite, Floor, Building, Number, Street) _____
- Line 2 (City) _____
- Line 3 (Province, State) _____
- Country _____
- Post Code/ZIP Code _____
- (4) **Mailing Address** (Complete if different to the current business address)
- Line 1 (Suite, Floor, Building, Number, Street) _____
- Line 2 (City) _____
- Line 3 (Province, State) _____
- Country _____
- Post Code/ZIP Code _____
- (5) Is the account holder a branch of a legal entity? Yes No
- (6) If yes, please provide the jurisdiction that the
Branch is physically located in _____

Part 2 Entity Type

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> (a) Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> (b) Investment Entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction <input type="checkbox"/> (c) Other investment entity
Active NFE	<input type="checkbox"/> A corporation the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> A governmental entity, an international organization (e.g. the United Nations, NATO etc), a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

Part 3 Controlling Persons - Complete this part if the entity account holder is an investment entity in Part 2(b) or a passive NFE.

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete “Controlling Person tax residency self-certification form” for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4 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 account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is not a tax resident in any jurisdiction (e.g. because it is fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

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

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

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder 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 account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

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 account holder 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 account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information.

I certify that where I have provided information regarding any other person (such as Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those persons that I have provided such information to KVB and that such information may be provided to the New Zealand Inland Revenue Department and exchanges with the tax authorities of another jurisdiction or jurisdictions in which the person may be tax resident pursuant to the legal provisions for exchange of financial account information.

I certify that I am authorised to sign for the account holder of all the account(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 entity identified in Part 1 of this form or causes the information contained herein to become incorrect (including any changes to controlling persons identified in Part 3) 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

Date (dd/mm/yyyy)

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

Note: Term definitions and further details can be found within the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information (AEOI). 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.