

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 - Individual

#### 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 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 Individual Account Holder

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

##### (1) Name of Account Holder / authorised 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 (e.g. 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 2 (e.g. Province, State) \_\_\_\_\_  
Country \_\_\_\_\_  
Post Code/ZIP Code \_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_

## Part 2 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 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 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 3 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 I am the account holder / I am authorised to sign for the account holder <sup>#</sup> 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 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

\_\_\_\_\_

Date (dd/mm/yyyy)

\_\_\_\_\_

(Indicate the capacity if you are not the individual identified in 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). 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.