

## 1. Application details

Name of Trust/Company (This is the entity that is opening the account with HSBC Bank)	
Name of Trust/Company which you have direct control/association with (if different to above) For example: this could be a Professional Trustee Company of which you are a director	

## 2. Personal details

Are you an existing HSBC customer?	No <input type="checkbox"/> Yes <input type="checkbox"/> Specify customer number & update customer details where necessary	
If "Yes" in which country(ies) do you hold HSBC Premier Account(s)		
Designation, Relationship to the customer/entity you control	Controlling Person of a legal entity (e.g. Company)	<b>Control by ownership</b> Shareholder <input type="checkbox"/> Partner <input type="checkbox"/> Proprietor <input type="checkbox"/> Ultimate Beneficial Owner <input type="checkbox"/> <b>Senior managing official</b> Director <input type="checkbox"/> Direct Appointee <input type="checkbox"/> <b>Control by other means</b> Authorised Signatory <input type="checkbox"/> Executor/Administrator <input type="checkbox"/> Guarantor <input type="checkbox"/> Other (please specify) <input type="checkbox"/>
	Controlling Person of a Trust	<b>Settlor</b> <input type="checkbox"/> <b>Trustee</b> <input type="checkbox"/> <b>Other</b> Power Of Attorney <input type="checkbox"/> Guarantor <input type="checkbox"/> Executor/Administrator <input type="checkbox"/> <b>Protector</b> <input type="checkbox"/> <b>Beneficiary</b> <input type="checkbox"/> Other (please specify) <input type="checkbox"/>
Title		
First name(s)		
Last name		
Former / other name(s)		
Date of Birth		
Gender	Male <input type="checkbox"/> Female <input type="checkbox"/>	
Nationality		
Country of birth		
Multiple Nationalities	No <input type="checkbox"/> Yes <input type="checkbox"/> If Yes please provide name(s) of other Nationalities	
Home/Work phone number		
Mobile number		
Email address		
Current residential address	Country (if not New Zealand)	Postcode
The above has been my address since DD/MM/YY		
If at current address for less than 3 years please provide details of your previous residential address	Country (if not New Zealand)	Postcode
Permanent address (complete if your residential address above is not your permanent/long term residential address) *Permanent Address is defined as your long term Residential Address. For example, you are temporarily living in New Zealand for work, however you will be returning back to your permanent home in Australia. Therefore, your current Residential Address will be New Zealand and your Permanent Residential Address will be Australia.	Country (if not New Zealand)	Postcode
Correspondence address (if different from residential address above)	Country (if not New Zealand)	Postcode

## 2.1 Employment Status (not applicable for Beneficiaries)

Are you	Employed <input type="checkbox"/>	Self employed <input type="checkbox"/>	Unemployed <input type="checkbox"/>	Retired <input type="checkbox"/>	Housewife <input type="checkbox"/>
	Student <input type="checkbox"/>	Other <input type="checkbox"/>	_____		
Name of employer / business					
Employer / business address					
Occupation / nature of business					
Position held					
Time at this employment	Years		Months		
Sources of Wealth* (Please tick all that apply)	Salary/drawings	<input type="checkbox"/>	\$ _____		
	Superannuation payments	<input type="checkbox"/>	\$ _____		
	Investment income	<input type="checkbox"/>	\$ _____		
	Dependent on family members	<input type="checkbox"/>	\$ _____		
	Property related income e.g. rent	<input type="checkbox"/>	\$ _____		
	Other (Please specify)	<input type="checkbox"/>	\$ _____		
*“Sources of Wealth” describes all activities that have contributed to your total net worth – including funds and other assets not held with HSBC.					

## 3. Tax Details - Controlling Person Tax Residency Self-Certification

### Country of Residence for Tax Purposes and related Tax Identification Number or functional equivalent (“TIN”) (See Appendix)

Please complete the following table indicating:

- (i) where you (the Controlling Person) is a tax resident; and
- (ii) the TIN for each country indicated.

If you (the Controlling Person) is tax resident in more than three countries please use an additional sheet. If a TIN for any country where you are tax resident is unavailable, please specify the reason why.

- Reason A** The country does not issue TINs to its residents  
(For example: Bahamas, Bermuda, British Virgin Islands, Cayman Islands, Slovakia, Turks & Caicos Islands)
- Reason B** Unable to obtain a TIN or equivalent number  
(Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)
- Reason C** Country does not allow its residents to disclose TIN to other countries.  
(For example: Australia)

Country of tax residence	IRD/TIN or equivalent	If no TIN available enter Reason A, B or C
1		
2		
3		

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

Please note: If you are not willing to provide your TIN, then this may cause delays in your Account Opening Application.

1	
2	
3	

## Declarations and Signature

I understand that the information supplied by me in Part 3 of this form (Tax Details) is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with HSBC setting out how HSBC may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I certify that where I have provided information regarding any other person (such as a 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 HSBC and that such information may be provided to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

**I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**

I undertake to advise HSBC within 30 days of any change in circumstances which affects the tax residency status of the individuals identified in Part 2 of this form or causes the information contained herein to become incorrect and to provide HSBC with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

If the Account Holder in respect to which this forms relates to is a trust of which I'm a discretionary beneficiary (who does not otherwise control a trust) I undertake to advise HSBC about any distribution received from the Account Holder as soon as practical after receiving the distribution.

Signature: \_\_\_\_\_

Print name: \_\_\_\_\_

Date: (dd/mm/yyyy) \_\_\_\_\_

**Note:** Please indicate the capacity in which you are signing the form (for example "Authorised Officer").

If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity: \_\_\_\_\_

## 4. Important information and declaration

I,

- confirm that I have completed and signed the Retail Banking and Wealth Management Account Mandate (the "Mandate") and accept that these terms also apply to the operation of my nominated accounts with HSBC (if applicable);
- acknowledge that HSBC is entitled to receive instructions from Authorised Signatories in accordance with the Mandate (if applicable) and the terms contained in the Retail Banking and Wealth Management Terms & Conditions;
- understand that if I wish to send instructions to you by phone or facsimile then the relevant sections of the Retail Banking and Wealth Management Terms & Conditions apply;
- confirm that the information disclosed in this Connected Parties Form, is a true and accurate record of my personal details and current financial position;
- have been provided a copy of the HSBC QFE Disclosure Statement (if not this can be located at <http://www.hsbc.co.nz>) on account opening and acknowledge that I will read the important information contained in the statement before applying for services and products with HSBC; and
- acknowledge that HSBC does not give any tax advice to customers and the onus is on each customer to fulfil their worldwide tax reporting and filing obligations in relation to the account and that HSBC expects the customer to so comply. Where a referral is made to an external organisation for specific tax advice, the contract for such tax advice is between the customer and the third party, and any advice provided is the responsibility of such third party, not HSBC.

Full name

Official designation:

Signature:

Date:

## Customer or Connected Party documentation checklist

This application completed <input type="checkbox"/>	Proof of address <input type="checkbox"/>	Identification document <input type="checkbox"/>
Other (specify) _____		

Note: Identification and proof of address is required for all Authorised Signatories, Directors, Principal Shareholders, Partners, Proprietors, Trustees, Settlers, Guarantors, Protectors and Officers.  
Address verification must be less than three months old and confirm signatory's residential address and permanent address, if different from residential address.

## Bank use only

## Appendix – Definitions

**Note:** These are selected definitions provided to assist you with the completion of Part 3 (Tax Details) of this form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the “CRS”), the associated Commentary to the CRS, and domestic guidance. This can be found at the following link: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

If you have any questions then please contact your tax adviser or domestic tax authority.

**“Account Holder”** The term “Account Holder” means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

**“Active NFE”** An NFE is an “Active NFE” if it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

An entity will be classified as Active NFE if it meets any of the following criteria:

- a) less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history, (a “start-up NFE”) but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- h) the NFE meets all of the following requirements (a “non-profit NFE”)
  - i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
  - (ii) it is exempt from income tax in its jurisdiction of residence;
  - (iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - (iv) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

- (v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

**"Control"** over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person or persons are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

**"Controlling Person"** This is a natural person who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("NFE") then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" as described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

Controlling Persons of a trust, means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Note: A discretionary beneficiary (that does not otherwise control a trust) should only be treated as a controlling person if they have received a distribution from the trust. New Zealand legislation requires the trust or trustee to inform the Financial Institution that maintains the account if they make a distribution to such a beneficiary.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.

In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

**"Entity"** The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

**"Financial Account"** A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

**"Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution"** is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not resident in, or a branch located in, a Participating Jurisdiction.

**"Investment Entity managed by another Financial Institution"**

"An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

**"Participating Jurisdiction"** A Participating Jurisdiction is a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the Common Reporting Standard.

**"Passive NFE"** Under the CRS a "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

**"Reportable Account"** The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

**"Reportable Jurisdiction"** A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place.

**"Reportable Person"** A Reportable Person is an individual (or entity) that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the "Reportable Person"; however, in the case of an Account Holder that is a Passive NFE, a Reportable Person also includes any Controlling Persons who are tax resident in a Reportable Jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

**"TIN"** (including "functional equivalent") The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the following link: <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.