

1. Application details

Name of Trust/Company <i>(This is the entity that is opening the account with HSBC Bank)</i>			
Designation, Relationship to the customer/entity you control <i>Controlling Person definition:</i>	Controlling Person of a legal entity (e.g. Company) Yes <input type="checkbox"/> No <input type="checkbox"/>	Control by ownership Shareholder <input type="checkbox"/> Partner <input type="checkbox"/> Proprietor <input type="checkbox"/> Ultimate Beneficial Owner <input type="checkbox"/> Senior managing official Director <input type="checkbox"/> Direct Appointee <input type="checkbox"/>	Control by other means Authorised Signatory <input type="checkbox"/> Executor/Administrator <input type="checkbox"/> Guarantor <input type="checkbox"/> Other (please specify) <input type="checkbox"/> <input type="text"/>
	Controlling Person of a Trust Yes <input type="checkbox"/> No <input type="checkbox"/>	Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Other Power Of Attorney <input type="checkbox"/> Guarantor <input type="checkbox"/> Executor/Administrator <input type="checkbox"/> Appointer <input type="checkbox"/> Authorised Signatory <input type="checkbox"/>	Protector <input type="checkbox"/> Beneficiary <input type="checkbox"/> Other (please specify) <input type="checkbox"/> <input type="text"/>

Please enter the legal name of the relevant entity of which you are a Controlling Person

Legal name of **Entity 1**

Legal name of **Entity 2**

Legal name of **Entity 3**

Please provide the Controlling Person's Status by ticking the appropriate box		Entity 1	Entity 2	Entity 3
a	Controlling Person of a legal person- control by ownership (e.g. company)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b	Controlling Person of a legal person- control by other means (e.g. company)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c	Controlling Person of a legal person- senior managing official (e.g. company)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d	Controlling Person of a trust- settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e	Controlling Person of a trust- trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f	Controlling Person of a trust- protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g	Controlling Person of a trust- beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h	Controlling Person of a trust- other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Personal details

Are you an existing HSBC customer?	No <input type="checkbox"/> Yes <input type="checkbox"/> <i>Specify customer number & update customer details where necessary</i>
If "Yes" in which country(ies)/region(s) do you hold HSBC Premier Account(s)	
Title	
First name(s)	
Middle name	
Last name	
Former name(s)	
Other name(s)	
Date of Birth	
Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Unspecified <input type="checkbox"/>
Nationality/Citizenship	
Place of birth (country/region)	
Multiple Nationalities/Citizenships	No <input type="checkbox"/> Yes <input type="checkbox"/> <i>If Yes please provide name(s) of other Nationalities/Citizenships</i>
ID Type	<input type="checkbox"/> Passport <input type="checkbox"/> NZ Driving License <input type="checkbox"/> Other ID Number _____ Issue date _____
Home/Work phone number	
Mobile number	
Email address	
Residential address	Postcode _____ Country/Region (if not New Zealand) _____
The above has been my address since DD/MM/YYYY	
If at current address for less than 3 years, please provide details of your previous residential address	Postcode _____ Country/Region (if not New Zealand) _____
Correspondence address (if different from residential address above)	Postcode _____ Country/Region (if not New Zealand) _____

2.1 Employment Status (not applicable for Beneficiaries)

Are you	Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Un-employed <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 _____

Income details

Annual salary/Business income	\$ _____
Total weekly rental income (as per real estate owned section)	\$ _____
Annual other income (i.e. bonuses, commissions)	\$ _____
Total annual income	\$ _____

Sources of Wealth* (Please tick all that apply)

Salary/drawings/bonus/commission	<input type="checkbox"/>
Superannuation payments/pension	<input type="checkbox"/>
Investment income/sales of shares	<input type="checkbox"/>
Dependent on family members	<input type="checkbox"/>
Property related income e.g. rent/sale of property	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>
Other (Please specify)	_____

Country(ies)/Region(s) where wealth was accumulated

"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

Please complete the following table indicating (i) where you (the Account Holder) is a tax resident; and (ii) the TIN for each country/jurisdiction indicated. If you (the Account Holder) is a tax resident in more than three countries/jurisdictions please use an additional sheet.

If you are not sure of your TIN or its equivalent, please refer to the OECD website: <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

1. Reason A	This country/jurisdiction does not issue TINs
2. Reason B	I am unable to provide a TIN or equivalent due to other reasons
3. Reason C	Country/Jurisdiction does not allow its residents to disclose TIN to other country/jurisdiction.

Country/Jurisdiction 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	

4. Declarations and Signature

Foreign Account Tax Compliance Act (FATCA)

If the individuals in this application have any connection with the United States of America (USA), please go to: <https://www.fatca.hsbc.com/en/rbwm/new-zealand>, and download the FATCA form/s applicable to your circumstances to provide us more information.

This will help us to correctly classify your Tax status under the Foreign Account Tax Compliance Act (FATCA).

Please confirm that you have completed this? Yes No (I am not a US person)

- If you are tax resident in more than three countries/jurisdictions, please use a separate sheet and confirm by placing an X in the box.
- Please confirm here by placing an 'X' in this box that you have included ALL of the countries/jurisdictions in which you are tax resident.

if the addresses in Part 1 are different from the country(ies)/jurisdiction(s) where you are tax resident in Part 2, you need to tell us why.

A. The country you live in (Part 1.) is different from the country(ies)/jurisdiction(s) where you are tax resident (Part 3).

Please place an 'X' against **one** of the following options:

1. I am a student studying in the country in Part 1 and have not yet lived there long enough to become tax resident.
2. I am working in the country in Part 1 and have not yet lived there long enough to become tax resident.
3. I am a diplomat or a member of the armed forces posted to the country in Part 1.
4. I have recently moved to the country that I am opening a bank account in and I am not yet tax resident in this country. I am still tax resident in the country(ies)/jurisdiction(s) in Part 3
5. None of the above - please provide details in the space below.

B. Your mailing address country Part 1 is different from the country(ies)/jurisdiction(s) where you are tax resident (Part 3).

Please place an 'X' against **one** of the following options to confirm what the mailing address is:

- 1. The address is my adviser, accountant, and lawyer.
- 2. The address is my relative's address.
- 3. The address is my work or employer's address.
- 4. The address is my holiday home.
- 5. None of the above - please provide details in the space below.

Important Information and Customer Declaration

CRS Declaration

I certify that I am the account holder (or am authorised to sign for the account holder) of all the account(s) to which this form relates.

I understand that the information I have provided is covered by the Privacy Notice and the terms and conditions of my account(s), in particular how HSBC may use and share it.

I acknowledge that HSBC may share this information with the tax authorities of the country(ies)/jurisdiction(s) where I hold my account(s) and that those tax authorities may exchange this information between themselves as part of the intergovernmental agreements to exchange Financial Account information. If I have completed this form on behalf of the account holder, I certify that I have their authority and that all relevant individuals have been made aware of the Privacy Notice, and the individual rights and information it sets out. I will notify the account holder, within 30 days of signing this form, that I have provided this information to HSBC and that it may be passed to the tax authorities of all countries/jurisdictions where the account holder holds accounts.

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

I agree to tell HSBC within **30 days** of any change in circumstances that affects the tax residence status of the person named in Part 1 of this form, or means that the information contained within the form becomes out of date. I agree to provide an updated self-certification form to HSBC within **90 days** of any such changes.

Declaration and Signature

I/we certify that all information supplied in connection with this (or any related) application is true, correct and complete in every respect.

I/We confirm that I/we have read and understood the [Wealth and Personal Banking Terms and Conditions](#) and the [Wealth and Personal Banking Fees and Charges guide](#) ("Terms").

I/We acknowledge and agree that the Terms (as amended from time to time) apply to all products and services provided by HSBC whether now or in the future.

I/We confirm that I/we have completed and signed the Wealth and Personal Banking Account Mandate (the "Mandate") and accept that these terms also apply to the operation of my/our nominated accounts with HSBC (if applicable).

I/We acknowledge that HSBC is entitled to receive instructions from Authorised Signatories in accordance with the Mandate (if applicable) and the terms contained in the Wealth and Personal Banking Terms and Conditions.

I/We 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 the HSBC expects the client 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.

I/We consent to HSBC, its agents, authorised service providers and relevant third parties (including credit reporting agencies), collecting, using, storing and disclosing any personal data which I/we provide to HSBC from time to time in the course of our relationship and in connection with the products and/or services which I/we may apply for or request. Personal data will be collected, used, stored and disclosed for the purposes and upon the terms set out in the [Privacy Act 2020](#), the Terms and [HSBC's privacy and security policy](#) (as amended from time to time) which may be found on HSBC's website.

I confirm that I have read and understood the CRS Declaration above.

Yes No

I confirm that I have read and understood the Customer Declaration above.

Yes No

I confirm that I am an authorised signatory on this account.

Yes No

Print Name

Signature:

Date (DDMMYYYY)

I would like to receive information on other HSBC products and services (including via email)

Yes No

Customer 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 customer'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: <https://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

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:

- 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;
- 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;
- the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- 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;
- 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;
- 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;
- 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
- the NFE meets all of the following requirements (a "non-profit NFE")
 - 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;
 - it is exempt from income tax in its jurisdiction of residence;
 - it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - 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
 - 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:<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

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.