AE Investor
APPLICATION FORM

I WISH TO JOIN AE INVESTOR AND HAVE READ THE PRODUCT DISCLOSURE

INVESTOR DETAILS: COMPANY/TRUST/PARTNERSHIP/INCORPORATED/FRIENDLY SOCIETY

NAME OF ENTITY

EMAIL ADDRESS ADDRESS

CONTACT PHONE NUMBERER

PHYSICAL ADDRESS (cannot be PO Box)

SUBURB

CITY

COUNTRY

POSTCODE

POSTAL ADDRESS (if different from physical address)

SUBURB

CITY

COUNTRY

POSTCODE

ENTITY* (Please select one)

- ☐ Company
- ☐ Trust
- ☐ Partnership
- ☐ Incorporated/Friendly Society

**Please refer to Appendix 3 page 12 for the supporting documents requirements*

ENTITY TAXATION INFORMATION:

IIRD NUMBER (NEW ZEALAND TAX RESIDENT ENTITIES)

☐☐☐☐☐☐☐☐☐

YOUR IRD NUMBER IS A UNIQUE NUMBER ISSUED TO YOU BY INLAND REVENUE. SEE *WWW.IRD.GOVT.NZ*

PRESCRIBED INVESTOR RATE (PIR):

A PIR is the tax rate that we calculate the tax on the income we derive from investing your money. Your PIR is based on your taxable income. Please see Section 6 of the Product Disclosure Statement (PDS); or call us or go to www.ird.govt.nz

☐ 0% ☐ 10.5% ☐ 17.5% ☐ 28%

How did you hear about Always-Ethical? (Please select as many that apply)

☐ AE Sales Team ☐ Friends ☐ Social media ☐ Online advertising ☐ Referral _____

☐ Events ☐ Family ☐ Radio ☐ Online search ☐ Other _____

ENTITY FOREIGN TAX RESIDENCY DETAILS:

As part of global tax transparency initiatives, financial institutions like Always-Ethical Limited are required to collect details about the tax residency status of their clients. These obligations stem from international regulations, including the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS). These frameworks aim to reduce tax evasion and ensure that financial account information is reported across jurisdictions.

More information about FATCA and CRS is available from New Zealand Inland Revenue at: **www.ird.govt.nz/international-tax/exchange-of-information**.

If you are uncertain about how to complete this section or about your entity's tax status, please seek guidance from a qualified tax advisor.

1. Is the entity a tax resident in any country other than New Zealand? ☐ Yes ☐ No

IIf you selected "Yes", please list all countries in which the entity is considered tax resident, along with the relevant Tax Identification Number (TIN) for each. If a TIN is not available, please provide a valid reason.

Country of Tax Residence	TIN (or explanation if TIN not available)

2. Is the entity considered a Financial Institution under FATCA or CRS?

A Financial Institution (FI) typically includes custodial institutions, depository institutions, investment entities and certain types of insurance companies. For example, a trust may qualify as a Financial Institution if it earns 50% or more of its income from financial assets and is professionally managed by another Financial Institution.

☐ Yes. Please provide your Global Intermediary Identification Number (GIIN) ☐ No. Continue to Question 4 4

GIIN: _____

3. Is the entity a managed investment entity that is tax resident in a country that does not participate in the OECD's CRS framework?

This applies if:

- The entity primarily earns income from investing in financial assets, and
- The entity is managed by a Financial Institution, and
- The country of tax residence has no automatic exchange agreement under CRS.

☐ Yes. Please complete Appendix 2 for each Associated Person and skip Question 4

☐ No. Please skip Question 4

4. What is the entity classification under CRS – Active or Passive Non-Financial Entity (NFE)?

- An **Active NFE** is an entity where less than 50% of its income is passive, and less than 50% of its assets generate (or could generate) passive income.
- A **Passive NFE** is an entity that earns 50% or more of its income from passive sources, or where 50% or more of its assets produce (or could produce) passive income.

Passive income typically includes:

- Interest
- Dividends
- Annuities
- Certain types of financial arrangement income
- Royalties and rental income

☐ **Active NFE**

☐ **Passive NFE** - Please complete Appendix 2 for each Associated Person

Note: An ***Associated Person*** includes:

- *Any beneficiary who has received a distribution, and*
- *Any settlor or contributor to the entity who has contributed more than NZD $5,000 in total.*

AUTHORISED AGENT

Persons associated with application must complete the account holder/signatory form below

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

FULL NAME (AS PER ID PROVIDED)

ADDRESS (AS PER PROOF OF ADDRESS PROVIDED) POST CODE

CITY COUNTRY

DATE OF BIRTH (DD/MM/YYYY) CONTACT PHONE NUMBER (LANDLINE) MOBILE PHONE NUMBER

EMAIL ADDRESS

TAXATION INFORMATION:

IRD NUMBER (NEW ZEALAND TAX RESIDENT INVESTORS)

YOUR IRD NUMBER IS A UNIQUE NUMBER ISSUED TO YOU BY INLAND REVENUE SEE *WWW.IRD.GOVT.NZ*

Are you a US citizen or a US tax resident? ☐ Yes ☐ No

Are you a tax resident in any other country (other than the US or NZ)? ☐ Yes ☐ No

If you answered 'Yes' to either of the above two questions, please list all the countries below and provide the Tax Identification Number (TIN) for each of country. If you are a US citizen or US tax Resident your TIN will typically be your Social Security Number.

Country of Tax Residence	TIN (or explanation if TIN not available)

For more information about how to determine your personal tax residency status, please visit the OECD website at https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency

Alternatively, you may wish to consult a qualified tax adviser for guidance.

INVESTOR IDENTIFICATION

We have two options for clients to confirm their identity. Please select one of the options below.

Option 1: Electronic Identity Verification and Proof of Address

AE can confirm the identity and/or New Zealand address of many of our clients electronically, with their permission.

Please note that we use a third party system not owned by AE to conduct identity checks in this way.

☐ I confirm that I give AE authority to check my identity and/or address electronically using the documentation provided.
I have included a copy of my current signed NZ passport (preferred) or NZ Driver Licence (front & back).

Option 2: Certified Copies of Identity Documents

You can provide certified photocopies of your documents (we need the physical copy that has been certified).

☐ I will provide certified identification documents.
See 'Investor Identification Requirements' on Appendix 4 page 13 for further detail, including who can certify them and correct certification wording.

CORPORATE/ PARTNERSHIP/TRUSTEE/etc ACCOUNT HOLDER/SIGNATORY FORM

ALL PERSONS ASSOCIATED WITH AN ACCOUNT APPLICATION MUST COMPLETE THIS FORM AND PROVIDE DOCUMENTS VERIFYING THEIR IDENTITY AND RESIDENTIAL ADDRESS. THIS INCLUDES PERSONS ACTING UNDER POWER OF ATTORNEY, TRUSTEES, COMPANY DIRECTORS, SHAREHOLDERS WITH MORE THAN 25% CONTROL OF THE INVESTING ENTITY, AUTHORISED OFFICIALS OR OFFICERS, AND ANYONE AUTHORISED TO OPERATE THE ACCOUNT. PLEASE USE APPENDIX 1 ON PAGE 10 TO PROVIDE DETAILS FOR ADDITIONAL PERSONS.

1. ADDITIONAL ACCOUNT HOLDER/SIGNATORY DETAILS

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

FULL NAME (AS PER ID PROVIDED)

ADDRESS (AS PER PROOF OF ADDRESS PROVIDED) POSTCODE

CITY COUNTRY

RELATIONSHIP TO THE ACCOUNT *(i.e. trustee, director, etc.)* ROLE IN RELATION TO THE ENTITY *(if applicable)*

DATE OF BIRTH (DD/MM/YYYY) CONTACT PHONE NUMBER (LANDLINE) MOBILE PHONE NUMBER

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2. ADDITIONAL ACCOUNT HOLDER/SIGNATORY DETAILS

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

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3. ADDITIONAL ACCOUNT HOLDER/SIGNATORY DETAILS

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FULL NAME (AS PER ID PROVIDED)

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4. ADDITIONAL ACCOUNT HOLDER/SIGNATORY DETAILS

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

FULL NAME (AS PER ID PROVIDED)

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INVESTMENT DETAILS:

I apply to invest the below amount in AE Investor:

☐ US$ or ☐ NZ$ _____ (Please select US$ or NZ$)

I will remit the application monies to the below account (select one)

☐ **In NEW ZEALAND DOLLARS to [1] [2]:**

ACCOUNT NAME: AE NOMINEES LIMITED
ACCOUNT NUMBER: 12-3198-0066681-00
BANK: ASB Bank,
12 Jellicoe Street, Auckland
1010, New Zealand

☐ **In US DOLLARS to [2]:**

ACCOUNT NAME: AE NOMINEES LIMITED
ACCOUNT NUMBER: 26853537-USD-26
BANK: ASB Bank,
12 Jellicoe Street, Auckland
1010, New Zealand
Swift code : ASBBNZ2A

Please supply the following details when making a payment :

Particulars: Investor First Name
Code: Investor Family Name
Reference: IRD number (8 or 9 digits only – no spaces or extra characters)

[1] *By remitting this application monies in New Zealand dollars, I understand that AE Investor will convert the currency to US dollars at the rate offered by its bank.*
[2] *Subject to the Manager's approval, the units will be issued by AE Investor on the day it receives cleared monies in the above named US dollar account and.the units shall issue at the price of the units that day*

I will pay via electronic bank transfer to one of the above accounts from an AML/CFT compliant bank.

Source of Funds/Wealth*

Please tell us the original source of the funds you are investing with us. You may need to supply proof of the source of funds such as sale & purchase agreement, payslips, legal documentation.

☐ Inheritance/windfall ☐ Property sale ☐ Asset/Business sale ☐ Personal income
☐ Accumulated savings ☐ Superannuation ☐ Other (please specify) _____

Please provide further details about source of funds. For example, sale of vehicle; 2016 Mazda 3 for NZ$15,000

Primary Purpose for the Investment*

Please tell us the reason you are investing with Always-Ethical*

☐ Retirement ☐ Income ☐ Investing ☐ Other (please specify) _____

What are your goals/plans for this investment?

How do you intend to transact on this account?

Deposits (please select at least one)

☐ Regular
☐ Now and then
☐ Lump sum (one-off)
☐ Other (please specify) _____

Withdrawals (please select at least one)

☐ Regular
☐ Now and then
☐ Lump sum (one-off)
☐ Other (please specify) _____

**Please note, this information is requested solely in relation to the Anti-Money Laundering and Countering Financing of Terrorism Act and is not used to assess the suitability of your product selection or to provide financial advice.*

New Zealand Bank Account Details

Please provide us with your entity bank account details, including proof of these. See Appendix 4 page 13 for more details.

- The bank account your provide will be the account we accept payments from (you need to initiate the payments).
- Any withdrawal requests will be paid into this bank account.
- We unable to accept payments from international or third party bank accounts

NAME OF ACCOUNT HOLDER (Must be the same as per your proof of bank account/ bank statement)

BANK

ACCOUNT NUMBER

| | | |

IMPORTANT CONDITIONS OF APPLICATION:

TRUST, COMPANY, PARTNERSHIP, INCORPORATED COMPANY OR SOCIETY OR ASSOCIATION:

AE Investor requires identity and address identification for all persons associated with this account. For example Trustee's, Company Directors, Authorised Officers, Powers of Attorney or any other person authorised to operate the account or whom may significant influence decisions relating the account.

All persons associated as above, must complete the accountholder/signatory form below. AE Investor also requires copies of any Trust Deeds, names and dates of birth of all Trust beneficiaries. Partnership Agreements, Company Certificate of Incorporation and Constitution. Incorporated Society or Association copies of any constitution document.

COMPLETED APPLICATION

Please email to info@always-ethical.com with your supporting documentation.

PRIVACY ACT:

The information you provide us either in this application or in the future may be used by Always-Ethical Limited (the Manager), the Supervisor, and any related entities of either, the Financial Markets Authority (FMA), your financial adviser or the distribution entity through which you invested with AE Investor (if applicable) and by other service providers to AE Investor to provide services in relation to your investment. You may ask to be shown the information held about you, and if any of the information is incorrect, ask for it to be corrected. On request we will also provide you with the name and address of any entity to which information has been disclosed. If you do not provide the information requested on this application form, we may be unable to process your application.

EMAIL CORRESPONDENCE:

By signing this application form, I consent to receive all forms of correspondence via email including the AE Investor annual report. Please ensure you provide a current email address.

INVESTOR DECLARATION:

I have read the PDS dated 08 May 2026 and I agree to the terms therein including as necessary for this investment the use of my personal information; I understand that this is a long term investment, that the value of my investment may rise or fall overtime. I acknowledge that the Manager and the Supervisor have no liability towards me for any loss as a consequence of any investment decision made in accordance with the Trust Deed; I acknowledge that neither the Manager, the Supervisor, the government nor any person guarantees the performance of AE Investor or the repayment of any money payable by AE Investor.

I/WE IRREVOCABLY APPLY FOR THE ISSUE OF AE INVESTOR UNITS SHOWN ABOVE ON THE TERMS AND CONDITIONS SET OUT IN THE PRODUCT DISCLOSURE STATEMENT AND THIS APPLICATION FORM.

I/WE CONFIRM THE INFORMATION I/WE HAVE GIVEN ON THIS APPLICATION FORM IS TRUE AND CORRECT.

NAME OF AUTHORISED AGENT	SIGNATURE	DATE (DD/MM/YYYY)

NAME OF ACCOUNT HOLDER 1	SIGNATURE	DATE (DD/MM/YYYY)

NAME OF ACCOUNT HOLDER 2	SIGNATURE	DATE (DD/MM/YYYY)

NAME OF ACCOUNT HOLDER 3	SIGNATURE	DATE (DD/MM/YYYY)

NAME OF ACCOUNT HOLDER 4	SIGNATURE	DATE (DD/MM/YYYY)

APPENDIX 1 - CORPORATE/ PARTNERSHIP/TRUSTEE/etc ACCOUNT HOLDER/SIGNATORY FORM

ADDITIONAL ACCOUNT HOLDER/SIGNATORY DETAILS (You may make copies of this page if required)

FULL TRUST NAME

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

FULL NAME (AS PER ID PROVIDED)

ADDRESS (AS PER PROOF OF ADDRESS PROVIDED) POSTCODE

CITY COUNTRY

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APPENDIX 2 - ASSOCIATED PERSON FORM

(You may make copies of this page if required)

TITLE ☐ MR ☐ MRS ☐ MISS ☐ MS ☐ OTHER _____

FULL NAME (AS PER ID PROVIDED)

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DECLARATION

I understand that the details provided in this form, along with information relating to my account, may be shared with Inland Revenue and, where applicable, passed on to overseas tax authorities in accordance with international agreements for the exchange of financial account information. I will inform Always-Ethical promptly if any of the information I've provided changes, including any updates to my tax residency. I also confirm that I have read and agree to Always-Ethical's Privacy Policy, available at **www.always-ethical.com**

SIGNATURE DATE (DD/MM/YYYY)

APPENDIX 3 - CHECKLIST FOR DOCUMENT REQUIREMENTS

COMPANY

- [ ] Application form completed and signed by all relevant individuals
- [ ] Certificate of Incorporation
- [ ] Proof of bank account in the Company's name
- [ ] Proof of address of the company (e.g. IRD letter, bank statement, utility bill, e.t.c)
- [ ] All directors to complete account holder form
- [ ] Passport or NZ driver licence for all directors
- [ ] Proof of address of all directors (e.g. IRD letter, bank statement, utility bill, e.t.c)

TRUST

- [ ] Application form completed and signed by all relevant individuals
- [ ] Trust Deed
- [ ] Proof of bank account in the Trust's name
- [ ] Proof of address of the trust (e.g. IRD letter, bank statement, utility bill, e.t.c)
- [ ] All trustees to complete account holder form
- [ ] Passport or NZ driver licence for all trustee
- [ ] Proof of address of all trustees (e.g. IRD letter, bank statement, utility bill, e.t.c)
- [ ] Passport or NZ driver licence for all beneficiaries (if applicable)
- [ ] Proof of address of all beneficiaries (e.g. IRD letter, bank statement, utility bill, e.t.c) (if applicable)

PARTNERSHIP

- [ ] Application form completed and signed by all relevant individuals
- [ ] Partnership agreement
- [ ] Proof of bank account in the Partnership's name
- [ ] Proof of address of the partnership (e.g. IRD letter, bank statement, utility bill, e.t.c)
- [ ] All partners to complete account holder form (page 5 and 6
- [ ] Passport or NZ driver licence for all partners
- [ ] Proof of address of all partners (e.g. IRD letter, bank statement, utility bill, e.t.c

IINCORPORATED/FRIENDLY SOCIETY

- [ ] Application form completed and signed by all relevant individuals
- [ ] Society rules
- [ ] Proof of bank account in the Society's name
- [ ] Proof of address of the society (e.g. IRD letter, bank statement, utility bill, e.t.c)
- [ ] All authorised member to operate the account to complete account holder form
- [ ] Passport or NZ driver licence for all authorised member to operate the account
- [ ] Proof of address of all authorised member to operate the account (e.g. IRD letter, bank statement, utility bill, etc)

APPENDIX 4 - INVESTOR IDENTIFICATION REQUIREMENTS & PROOF OF BANK ACCOUNT

INVESTOR IDENTIFICATION REQUIREMENTS

If you have opted not to use Electronic Identity Verification or did not pass this system check then you will need to provide the following documentation: **Please provide a certified photocopy of each document:**

- The documents can be verified by AE employee or certified by a Trusted Referee as described below.
- Any certified documents cannot be scanned to us (we need the copy that has been physically certified)
- Please do not send in original versions of your identity documents.

1. CERTIFIED COPY OF IDENTIFICATION

Option 1

One of the following:

- ☐ Current signed New Zealand Passport (preferred)
- ☐ New Zealand Firearms Licence
- ☐ Overseas Passport with proof of NZ residency

OR

Option 2

- ☐ New Zealand Driver Licence (front and back)

In combination with one of the following:

- ☐ Bank statement, dated within the last 12 months
- ☐ Valid credit or debit card with name embossed and signature
- ☐ Birth certificate
- ☐ Citizenship certificate
- ☐ Government agency letter (IRD, Work & Income, Electoral Commission) that you received in the post and dated within the last 12 months
- ☐ SuperGold card with photo, name and signature

2. PROOF OF ADDRESS

Must state name and physical address, cannot be a PO Box address.

One of the following documents that has been issues in the last 12 months:

- ☐ Bank statement (we accept downloaded bank statements)
- ☐ Current vehicle registration
- ☐ Current house or contents insurance policy or renewal statement
- ☐ Government agency letter (IRD, Work & Income, Electoral Commission)
- ☐ Rates bill
- ☐ Tenancy agreement
- ☐ Letter issued by local Health Board
- ☐ Utility bill (power, water, internet, fixed home phone, SKY)

ACCEPTED TRUSTED REFEREES

Originals can be verified by an AE employee OR certified by a Trusted Referee in accordance with the instructions outlined below. Certified copies of identification must be presented to AE within three months of certification.

Identification must be certified by one of the following:

- Lawyer with a current practising certificate
- Chartered Accountant
- Member of the Police
- Justice of the Peace
- Registered Medical Doctor
- Registered Teacher
- New Zealand Honorary Consul
- Notary Public
- A person who has the legal authority to take statutory declarations or the equivalent in New Zealand
- If outside New Zealand, a person authorised by law to take a statutory declration (or equivalent) in that country.

The certifier must:

- For photograhic ID, make the statement "**I certify this to be a true copy of the original which I have sighted and represents a true and correct likeness of [name of the person presenting the documentation for certification].**"
- For certification of other documents, make the statement "**I certify this to be a true copy of the original which I have sighted.**"
- Include their **name, occupation and capacity to be a certifier** e.g. registration number (if applicable), **signature and date** of certifation.
- Not be living at the same address, a relative or spouse of the individual presenting the documents.

PROOF OF BANK ACCOUNT

Must be a NZ domiciled bank account in the name of the entity

Please provide a bank record or document that:

- Was issued in the last 12 months
- Includes bank account name
- Includes bank account number
- Includes bank logo

Example of this include a bank statement, letter from the bank, or mobile banking screenshot