AE Investor

APPLICATION FORM

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

INVESTOR DETAILS: INDIVIDUAL/JOINT (ALL JOINT APPLICANTS MUST COMPLETE A COPY OF THIS FORM)

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

FIRST NAME (AS PER PHOTO ID PROVIDED)

MIDDLE NAME(S)(AS PER PHOTO ID PROVIDED)

LAST NAME (AS PER PHOTO ID PROVIDED)

PLEASE LIST ANY OTHER NAMES YOU ARE KNOWN BY

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

EMPLOYMENT STATUS

☐ **EMPLOYED** ☐ **SELF-EMPLOYED** ☐ **NOT EMPLOYED**

OCCUPATION (IF APPLICABLE)

NEXT OF KIN DETAILS

NAME

PHONE

RELATIONSHIP

EMAIL

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)

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% **NOTIFIED FOREIGN INVESTOR***

*__You are a non-resident of New Zealand for tax purposes__, and you are investing in New Zealand from overseas. Interest payments on your investment may qualify for **0% Approved Issuer Levy (AIL)** instead of non-resident withholding tax. *You must not be a New Zealand tax resident to select this option.*

☐ 0% **TRANSITIONAL RESIDENT****

__You have recently become a New Zealand tax resident__ (within the last four years) and meet the criteria for transitional residency. You may be **exempt from New Zealand tax on most foreign income for up to four years.
You must have newly arrived in New Zealand and not have been tax resident here in the last 10 years.

☐ 10.5% **INCOME LESS $15,600**

☐ 17.5% **INCOME BETWEEN $15,601-$53,500**

☐ 28% **INCOME GREATER THAN $53,501**

BANK ACCOUNT DETAILS

Please provide us with your bank account details, including proof of these.

- 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

NZ ACCOUNT NUMBER

BANK	BRANCH	ACCOUNT NUMBER	SUFFIX

US ACCOUNT NUMBER (if applicable)

Proof of bank account

Must be a bank account in the name of the investor

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

IF APPLYING FOR A JOINT ACCOUNT, WITHDRAWALS REQUIRE AUTHORISATION OF:

☐ ANY ONE SIGNATURE OR ☐ BOTH SIGNATURES

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 _____

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' for further detail, including who can certify them and correct certification wording.

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.

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 Anti-Money Laundering and Countering Financing of Terrorism Act 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.*

IMPORTANT CONDITIONS OF APPLICATION:

INDIVIDUAL INVESTOR APPLICATION:

If you are applying as an individual investor, you will need to complete the application form and provide the identification and address verification documents outlined on page 2; Investor Identification section.

JOINT INVESTOR APPLICATION:

If you are applying to invest jointly with other persons both applicants must individually complete this form. Unless you specify otherwise, both applicants will be required to authorise any redemption of investment monies.

Please note if you are applying to invest jointly with other persons/parties you will need to provide application details for all persons/parties.

APPLICANT UNDER 18:

If the applicant is under 18, both legal guardians must sign the AE Investor Guardian Form and provide required identification documents as outlined in Investor Identification on page 2.

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.

SIGNATURE

DATE (DD/MM/YYYY)