# Customer Due Diligence Form
## Avanti Finance Group

Avanti Capital
avantifinance.co.nz/investors
investors@afcapital.co.nz
0800 808 003

Use this form to provide us with the information we need to complete customer due diligence under the Anti-Money Laundering and Counter Financing of Terrorism Act 2009.

> **Individuals:** please complete section 1

> **Companies:** please complete sections 1 and 2

> **Trusts:** please complete sections 1 and 3

> **Partnerships:** please complete sections 1 and 4

In addition, all investors must sign section 5, and provide proof of identity and address as set out in section 6.

Note: In some circumstances we may require additional information or documents from you before we can accept your application. We will contact you if this is the case.

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## 1. Investment Details and Key Individuals

Complete this section by providing details of all key individuals. For individual and joint investors, this is each person investing. For other types of investors, sections 2 to 4 explain who needs to include information in this section. Use more sheets if necessary.

| Details of Key Individuals | | | |
|---|---|---|---|
| | Individual 1 | Individual 2 | Individual 3 |
| Title | | | |
| First Name | | | |
| Middle Name | | | |
| Surname | | | |
| Occupation | | | |
| Date of Birth (dd/mm/yyyy) | | | |
| NZ Driver Licence number and version number, or NZ Passport number and expiry date | | | |
| Residential Address | | | |
| Postal Address (if different) | | | |
| Phone Number | | | |
| Email Address | | | |
| Are you a NZ resident or citizen? | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO |

| | Individual 4 | Individual 5 | Individual 6 |
|---|---|---|---|
| Title | | | |
| First Name | | | |
| Middle Name | | | |
| Surname | | | |
| Occupation | | | |
| Date of Birth (dd/mm/yyyy) | | | |
| NZ Driver Licence number and version number, or NZ Passport number and expiry date | | | |
| Residential address | | | |
| Postal address (if different) | | | |
| Phone Number | | | |
| Email Address | | | |
| Are you a NZ resident or citizen? | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO |

To comply with anti-money laundering laws, we need to verify the identity and address of each key individual. Please refer to section 6, which outlines the identification and address verification requirements.

| Nature and Purpose of Investment | |
|---|---|
| Nature of Investment *(select option that applies)* | ☐ One-off investment<br>I intend to make additional investments in the next: ☐ 12 months ☐ 24 months<br>☐ Expected future investment: $<br>☐ Other (please clarify): |
| Purpose of Investment *(select option that applies)* | ☐ Capital growth on investment<br>☐ Provide an income stream<br>☐ Diversification<br>☐ Other (please clarify): |

## 2. Company Information

| Details of Company | |
|---|---|
| Company Name | |
| Company Number (NZBN) | |
| Registered Address | |
| Postal Address (if different) | |

**Key Individuals**

The key individuals are all the directors, any shareholder who directly or indirectly holds more than 25% shares in the company, any other person who has effective control of the company, and anyone else who is acting on behalf of the company. Please list these individuals below.

| Name | Director? | Acting on behalf of the company? | Effective control of the company % | Shareholding % |
|---|---|---|---|---|
| | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | |
| | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | |
| | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | |
| | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | |
| | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | |

All individuals listed here must complete section 1 and provide identity and address information as set out in section 6.

| Control and Ownership/Powers that Bind and Regulate the Company | |
|---|---|
| Does the company have shares held in bearer form? | ☐ YES ☐ NO |
| Does the company have more than one class of shares on issue? | ☐ YES ☐ NO |
| Have the shareholders signed a shareholders' agreement relating to the company? | ☐ YES ☐ NO |

If you have answered 'Yes' to any of these questions, we will contact you for more information.

| Nominee Directors or Nominee Shareholders | |
|---|---|
| Does the company have any nominee directors or shareholders? | ☐ YES ☐ NO |

If you have answered 'Yes' to this question, we will contact you for more information.

## 3. Trust Information

| Details of Trust | |
|---|---|
| Trust Name | |
| Trust Deed | *Please provide a copy of the trust deed any amendments, including deeds of retirement/appointment of trustees (or similar)*<br>Are the documents attached? ☐ YES |
| Type of Trust | ☐ Discretionary ☐ Fixed ☐ Charitable |

| Name | Role (Trustee, Settlor, Protector, acting on behalf) |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |

All individuals listed here must complete section 1 and provide identity and address information as set out in section 6.

| Trust Type/Beneficiaries | |
|---|---|
| If the trust is a **discretionary trust or a fixed trust with more than 10 beneficiaries,** please provide a description of the class or type of beneficiaries. | |
| If the trust is a **charitable trust**, please specify the object or purpose of the trust. | |

## Trust Type/Beneficiaries

If the trust is a **fixed trust with 10 or less beneficiaries**, please provide the name and birth date of all beneficiaries below. Please use extra sheets if necessary.

| Full Name | Date of Birth | Full Name | Date of Birth |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

## Source of Funds/Source of Wealth

Please provide details of the origin of funds and wealth. Please include details of transaction(s), date, grantor's name, property details, etc.

| Funds/Wealth | Source |
|---|---|
| ☐ Business Profits | |
| ☐ Employment Earnings | |
| ☐ Recent Inheritance | |
| ☐ Recent Gift | |
| ☐ Recent Sale of Investment | |
| ☐ Other | |

Note: We may require a third party (e.g. your chartered accountant or lawyer) to verify these details

### Evidence of Source of Funds/Source of Wealth

Please provide all relevant information relating to the source of funds or the wealth of the investor. This should include supporting documents that verify the source of funds or wealth such as bank statements, sale and purchase agreements, payslips and any other documentation that shows the source of funds or wealth of the investor. We need to have sufficient evidence and understanding of how the funds and/or wealth was procured and may need to ask for further information to meet our legal obligations.

Are the source evidence documents **attached**? ☐ YES

## 4. Partnership Information

| Details of Partnership | |
|---|---|
| Partnership Name | |
| Partnership Deed | *Please provide a copy of the partnership deed and any amendments*<br>Are these documents attached? ☐ YES |
| Type of Partnership | |

| Name | Role | Acting on behalf of Partnership? |
|---|---|---|
| | | ☐ YES ☐ NO |
| | | ☐ YES ☐ NO |
| | | ☐ YES ☐ NO |
| | | ☐ YES ☐ NO |
| | | ☐ YES ☐ NO |
| | | ☐ YES ☐ NO |

All individuals listed here must complete section 1 and provide identity and address information as set out in section 6.

| Nominee General Partners | |
|---|---|
| Does the partnership have any nominee general partners? | ☐ YES ☐ NO |

If you have answered 'Yes' to this question, we will contact you for more information.

## 5. Declaration

You must not knowingly do anything to put any member of the Avanti Finance group in breach of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (**Act**).

By signing and returning this form you agree as follows:

1. I/we confirm that all information provided in this form is correct, and I/we will notify you of any changes.
2. I/we agree to provide you with any additional information required from time to time so that you may comply with the Act, and with your other legal obligations.
3. I/we authorise you to make any checks you consider necessary or desirable to verify the information in this form and to ensure compliance with your obligations under the Act. This includes completing electronic identity verification checks.
4. I/we confirm that I/we are not aware, and have no reason to suspect that, the money used to fund any investment by us is derived from or related to any criminal or other illegal activities, money laundering, terrorism financing or similar activities ('Illegal Activities'), or that proceeds of any investment will fund any Illegal Activities.
5. I/we acknowledge that the personal information I/we have supplied will be held and may be used and disclosed in accordance with your privacy policy (which is available on request).

Signed (complete as required)

| | |
|---|---|
| Name | Name |
| Signature | Signature |
| Date | Date |
| Name | Name |
| Signature | Signature |
| Date | Date |
| Name | Name |
| Signature | Signature |
| Date | Date |

## 6. Identification Requirements

To comply with anti-money laundering laws, we need to verify the identity and address of all key individuals. We will complete electronic verification checks on the individual's identity and address information through a trusted third-party provider, however if electronic verification is unsuccessful, we will require the individual to provide copies of their Identification and address documents.

**Please refer to the identification and address verification requirements below. Document copies must be certified by a "trusted referee".** The description of who is a trusted referee is also below.

**Acceptable forms of identification:**

- NZ Driver Licence
- NZ Passport
- Overseas / Foreign Passport and copy of New Zealand residency

**Acceptable forms of proof of address**

In **addition** to the above, each key individual must supply a copy of **one** form of address verification documentation from the following list, which cannot be more than three months old:

- Utility bill
- IRD tax assessment notice (New Zealand)
- Credit card or bank statements from an active account
- Government valuation of properties (evidencing ownership)
- Letter from a New Zealand employer on employer's letterhead (subject to separate verification process)
- Tenancy agreement for a New Zealand address.

Copies of these documents must be certified by a trusted referee.

**Who is a Trusted referee?**

When supplying certified identification documents, the trusted referee must be at least 16 years of age and one of the following:

- Commonwealth Representative (as defined in the Oaths and Declarations Act 1957)
- Member of the Police
- Justice of the peace
- Registered medical doctor
- Kaumātua
- Registered teacher
- Minister of religion
- Lawyer
- Notary public
- New Zealand Honorary Consul
- Member of Parliament
- Chartered accountant

In addition, the trusted referee must not be:

- Related to the investor; for example, a trusted referee cannot be a parent, child, brother, sister, aunt, uncle or cousin of the investor
- The spouse or partner of the investor
- A person who lives at the same address as the investor

The trusted referee must sight the original identification documentation and make a statement on the copy to the effect that the documents provided are a true copy and correctly represent the identity of the investor.

The certification by the trusted referee must include the name, occupation and signature of the trusted referee and the date of certification. Certification must have been carried out in the three months preceding the presentation of the copied document.