

# Invest with Pie Funds

THANK YOU FOR CHOOSING US

## 1. Application form

Each of the following people associated with this account application must complete Section 1 (Application Form):

- all trustees, including corporate trustees; and
- any other person authorised to operate the account or who has the ability to significantly influence decisions of the investor (effective control).

I/We understand that, unless I/we specifically engage a Pie Wealth financial adviser, the Pie Client Services team can only provide factual information about Pie Funds' products and cannot give any financial advice, recommendation or opinion about any funds, include switching between different funds and diversification of my investment.

I/We confirm that I/we have read and retained a copy of the Product Disclosure Statement(s) ("PDS") for the fund(s) that we are selecting to invest in today (for the Chairman's Fund the PDS is dated 1 September 2023 and for all other funds the PDS is dated 5 December 2023).

**FUND SELECTION** (Tick the fund/s you are investing in today, and indicate the investment amount. Minimum initial investment of NZ\$25,000 per fund or NZ\$500,000 for Chairman's Fund.)

<b>Australasian Growth</b>		<b>Diversified and Fixed Income</b>	
<input type="checkbox"/>	Australasian Dividend Growth \$	<input type="checkbox"/>	Property & Infrastructure \$
<input type="checkbox"/>	Australasian Emerging (closed)	<input type="checkbox"/>	Fixed Income \$
<input type="checkbox"/>	Australasian Growth \$	<input type="checkbox"/>	Conservative \$
<input type="checkbox"/>	Australasian Growth 2 \$	<input type="checkbox"/>	Chairman's \$

*(Chairman's Fund minimum initial investment NZ\$500,000)*

**Global Growth**

<input type="checkbox"/>	Global Growth \$
<input type="checkbox"/>	Growth UK & Europe \$
<input type="checkbox"/>	Global Growth 2 \$

**INVESTOR DETAILS** (Please use CAPITAL letters)

If you are an existing client, please provide your unitholder number: P M

**TRUST**

Trust Name  Trust IRD Number

Prescribed investor rate (PIR) (Tick one)  0%  10.5%  17.5%  28%

**TRUST CONTACT DETAILS**

Principal Business or Registered Office Address

Postal address (if different)  Email address

Home Phone  Business Phone  Mobile

**TAX RESIDENCY STATUS** *(Tick the option that applies)*

<input type="checkbox"/> <b>Financial Institution</b>  <i>The term Financial Institution as defined by FATCA and CRS includes custodial institutions, depository institutions, investment entities or specified insurance companies. A family trust is likely to be a Financial Institution if 50% or more of its income is from financial assets and is managed by another financial institution.</i>	<input type="checkbox"/> <b>Active non-financial entity (NFE)</b>  <i>An active NFE includes a listed company (and its related entities), governmental entities and international organisations.</i>	<input type="checkbox"/> <b>Passive NFE</b>  <i>A passive NFE is one that:</i> <ul style="list-style-type: none"> <li>• is not a financial institution</li> <li>• 50% or more of its gross income is passive income (common examples of passive income include interest, dividends, rent, annuities and royalties)</li> <li>• 50% or more of its assets are held for, or produce, passive income (common examples of passive income include interest, dividends, rent, annuities and royalties)</li> </ul>
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Is the Trust a foreign tax resident?  No  Yes. *If yes, please list the country and Tax Identification Number (TIN)*

Country  Tax Identification Number (TIN)

If a Passive NFE, is any controlling person\* a foreign tax resident?  No  Yes

*If yes, further information separate to this form is required. \*A controlling person is defined as a natural person who exercises control over an entity e.g. trustees, settlors or beneficiaries (beneficiaries include unnamed or classes of beneficiaries such as children or grandchildren).*

If this entity has a Global Intermediary Identification Number (GIIN), please provide it here

**TRUSTEE 1**

Title	First Name/s	Surname	Preferred Name	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
IRD Number		Address		
<input type="text"/>		<input type="text"/>		
Mobile		Home Phone	Email Address	
<input type="text"/>		<input type="text"/>	<input type="text"/>	

**TRUSTEE 2**

Title	First Name/s	Surname	Preferred Name	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
IRD Number		Address		
<input type="text"/>		<input type="text"/>		
Mobile		Home Phone	Email Address	
<input type="text"/>		<input type="text"/>	<input type="text"/>	

**TRUSTEE 3**

Title	First Name/s	Surname	Preferred Name	Date of Birth
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
IRD Number		Address		
<input type="text"/>		<input type="text"/>		
Mobile		Home Phone	Email Address	
<input type="text"/>		<input type="text"/>	<input type="text"/>	

## INVESTMENT DETAILS

### SOURCE OF WEALTH (Tick all that apply) \*proof of this will need to be provided. Please refer to Section 2 for further details.

Earned income     Savings/investments     Inheritance     Sales of assets  
 Other (please specify)

### NATURE AND PURPOSE (Tick all that apply)

Reason for opening an account with Pie Funds:

Investment     Retirement     Other (please explain)

How do you plan to transact on this account?

Deposits	Withdrawals
<input type="checkbox"/> Regularly <input type="checkbox"/> Ad hoc <input type="checkbox"/> Lump sum <small>(one off)</small>	<input type="checkbox"/> Regularly <input type="checkbox"/> Ad hoc <input type="checkbox"/> Lump sum <small>(one off)</small>

## PAYMENT (NZD)

Please deposit direct credit payments into the following account:

Investment amount (Minimum of NZD\$25,000 per fund or NZD\$500,000 for Chairman's Fund)

Account Number

Account Name

Bank

Reference

New Investor

Existing Investor

Particulars

Code

Reference

### DISTRIBUTION INSTRUCTIONS (Please tick appropriate box)

Reinvested by way of issue of new units     Paid to nominated bank account  
(we require a bank statement to verify the account)

### ADVISER DETAILS (If applicable)

If this application is by recommendation of an Authorised Financial Adviser independent to Pie Funds, please complete the following:

Adviser Name

Adviser Company Name

Contact Phone Number

## HOW DID YOU HEAR ABOUT PIE FUNDS?

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Friend or family member | <input type="checkbox"/> Kia Ora           | <input type="checkbox"/> Professional (i.e. lawyer/accountant) |
| <input type="checkbox"/> Pie KiwiSaver Scheme    | <input type="checkbox"/> Newspaper article | <input type="checkbox"/> Other (please specify)                |
| <input type="checkbox"/> Internet search         | <input type="checkbox"/> Advertisement     |  |

## 2. Identification documents checklist



Please provide clear copies of the following documents along with your application form



**Trust Deed** and any amendments (complete signed documents required).



**Proof of Address** for the Trust, each Trustee, and any signing corporate Trustee Directors (e.g. utility bill, bank statement or government department document) no older than 12 months.  
A PO Box is not a valid Proof of Address.



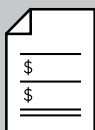
**Bank Statement** for the Trust showing the Trust name and bank account number where funds will be remitted from and to.



**Identification** for each Trustee and each signing Director (e.g. signed and valid passport or driver's licence). With the exception of a New Zealand or Australian passport, all other passports will need to be certified by a trusted referee (e.g. chartered accountant, lawyer or police officer) and original copies provided.



**Identification** for Settlers and/or Protectors of the Trust (e.g. signed and valid passport or driver's licence). With the exception of a New Zealand or Australian passport, all other passports will need to be certified by a trusted referee (e.g. chartered accountant, lawyer or police officer) and original copies provided.



**Source of Wealth Document** showing how the entity generated its wealth (e.g. sale and purchase agreement, probate or will, letter from accountant, payslip).

## INVESTING FOR ANOTHER PERSON UNDER POWER OF ATTORNEY

Identification of the person in whose name the investment is being made. In addition:

- Copies of each Power of Attorney, and  Certificate of Non-Revocation documents.

## 3. Declaration

### ANTI-MONEY LAUNDERING AND COUNTERING FINANCING OF TERRORISM ACT 2009 (AML/CFT)

1. You (the applicant / investor) must not knowingly do anything to put Pie Funds Management Limited ("Pie Funds") in breach of any AML/CFT laws.
2. You agree to provide all additional information and assistance requested by Pie Funds and comply with all reasonable requests from us to facilitate our compliance with AML/CFT laws.
3. You represent and warrant that you are not aware and have no reason to suspect that:
  - a) the money used to fund any investment by you is derived from or related to any criminal or other illegal activities, money laundering, terrorism financing or similar activities (Illegal Activities); and
  - b) the proceeds of any investment will fund any Illegal Activities.
4. You agree that we are not liable for any losses incurred as a result of any action we take which either delays an account being opened with us or results in this application being declined, when these actions are necessary for us to comply with our obligations under AML/CFT laws.
5. You agree that Drivers licence and/or Passport details provided can be used to verify the person's identity and may be checked with the Drivers Licence Verification Service administered by the New Zealand Transport Agency or with the Department of Internal Affairs confirmation service. You also agree that you are happy for us to retain this information on our files for future verification purposes to save you having to provide this information again.

### THE PRIVACY ACT 2020

This statement relates to the collection of your personal information that you are providing to Pie Funds Management Limited – PO Box 331079, Takapuna 0622, Auckland, (Pie Funds) and Apex Investment Administration (NZ) Limited (and its related entities) – PO Box 106039, Auckland City, Auckland (Apex) by way of this application and any personal information which you may provide in the future.

The personal information you have supplied may be used by Pie Funds and Apex for the purposes of enabling the arranging and management of your investment and to contact you in relation to your investment. If you are providing us with information about someone else, you confirm that person has read and agrees to the collection and use of that information in accordance with this section. Pie Funds will distinguish between voluntary and mandatory information that it collects.

Pie Funds will, always, keep your information confidential and retain it only for as long as is required by law. Where necessary, we may need to disclose your information under compulsion of law, or where required by regulatory agencies (including the Financial Markets Authority or our supervisor, Trustees Executors Limited) or to any tax authority, or to our professional advisers where reasonably necessary for the performance of our services.

Pie Funds will also use the information in accordance with the requirements of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 including for the purposes of electronic verification, and may disclose information to such carefully selected external and independent agencies and entities as it considers appropriate for this purpose.

As a New Zealand Financial Institution, we are required to classify you for the purposes of the United States Foreign Account Tax Compliance Act ("FATCA") and the OECD Common Reporting Standards for Automatic Exchange of Financial Account Information ("AEOI") to meet our due diligence obligations. This may require the collection of certain information about the tax residency and citizenship of an individual investor or the persons who control an entity investor. We may then be legally obliged to pass on this information and other financial information with respect to the account to the Inland Revenue and they may exchange this information with tax authorities of another jurisdiction or the IRS in the United States.

Pie Funds will provide you (on request) with the name and address of any entity to which your information has been disclosed. Under the Privacy Act 2020 you have the right to access all personal information held about you by or on behalf of Pie Funds. If any of the information is incorrect, you have the right to have it corrected. You can contact Pie Funds using the details set out above or on +64 4861701.

You agree that your name and address may be used by Pie Funds to provide you with a newsletter and other information about Pie Funds, including our other products and services such as the Pie KiwiSaver Scheme.

### ELECTRONIC RECEIPT OF DOCUMENTS

- I/We consent to receiving information from Pie Funds or Apex (or their agents) regarding my/our investment, electronically, to the email address provided on this Application Form, or to any other email address which I/we advise Pie Funds.
- If I/we provide instructions to Pie Funds or Apex (or their agents) electronically, I/we authorise them to act on any instructions which reasonably appear to have been provided from the email address provided on this Application Form, or by facsimile.
- I/We acknowledge that neither Pie Funds nor Apex accept any responsibility or liability whatsoever for any damage, costs, expenses, losses or liabilities incurred by any person as a result of Pie Funds or Apex acting on any instructions from an authorised email address or facsimile number. I/We agree to indemnify in all respects and hold harmless Pie Funds and Apex against all damage, costs, expenses, losses or liabilities which may arise by reason of Pie Funds or Apex accepting or acting on instructions from an authorised email address or facsimile number.

## INVESTOR DECLARATION

By signing and dating this application form, I/We:

- confirm that I/we are authorised to provide the personal details presented and have obtained the consent of the individuals to which the personal details relate for this information to be passed to and checked with the document issuer, official record holder, a credit bureau and authorised third parties for the purpose of verifying my identity and address. I also confirm that if required, evidence of this consent can be produced.
- have read and retained a copy of the Product Disclosure Statement(s) and agree to be bound by the terms and conditions of the Governing Document relating to the fund(s).
- acknowledge that neither the Supervisor nor Pie Funds are liable to me for any loss as a consequence of the investment direction given on this form, or any later investment direction and that Pie Funds does not guarantee the performance of the investment funds.
- agree to the terms outlined above in relation to the Privacy Act 2020 and the supply of personal information.
- understand that the fund is a vehicle for long-term investment and the value of my/our investment may rise and fall from time to time.
- understand the manner in which the fees will be deducted from my/our investment.
- have taken our financial capability into account when making my/our decision to invest in the/these fund(s).
- consent to receiving any communication from Pie Funds and Apex, including those required by law, financial statements and transaction confirmations, electronically via Pie Funds' online portal or at the email addresses specified in this application form, or any other email address advised to Pie Funds from time to time.
- confirm that I am/ we are currently either resident in New Zealand or located in New Zealand at the time of signing this application form.
- declare that all statements made in this application are, to the best of my/our knowledge and belief, correct and complete. Furthermore, I /we will undertake to notify Pie Funds of any change in tax residency status or a change which causes the information to become incorrect or incomplete.

## SIGNATURES

Signature of Trustee 1

Date

Signature of Trustee 2

Date

Signature of Trustee 3

Date

Please email us the signed application and supporting documentation (if any required) to: [applications@piefunds.co.nz](mailto:applications@piefunds.co.nz)