



All fields marked \* are mandatory

### Section 1: Identification of Account Holder

#### Entity Full Legal Name\*

Name

IRD Number

#### Physical Address\*

|  |                               |
|--|-------------------------------|
| Street address <input type="text"/>          |                               |
| Suburb <input type="text"/>                  |                               |
| Town/City <input type="text"/>               | Postcode <input type="text"/> |
| Country (other than NZ) <input type="text"/> |                               |

### Section 2: Countries of Tax Residence

Is the Entity a current tax resident of another country (Other than NZ)?\*  Yes  No

(Please list all your other countries of tax residency)

| Country of Tax Residence | Tax Number<br>(or equivalent) | No Tax Number<br>(reason code^) | Please provide an explanation if using reason code B |
|--------------------------|-------------------------------|---------------------------------|--|
| <input type="text"/>     | <input type="text"/>          | <input type="text"/>            | <input type="text"/>                                 |
| <input type="text"/>     | <input type="text"/>          | <input type="text"/>            | <input type="text"/>                                 |
| <input type="text"/>     | <input type="text"/>          | <input type="text"/>            | <input type="text"/>                                 |

#### ^Reason codes

The country you declared you are a tax resident of:

**A** - The country does not issue Tax Numbers or equivalent to its residents.

**B** - You are unable to obtain a Tax Number or equivalent (Please provide an explanation).

**C** - No Tax Number or equivalent is required for the country (Note: only use this reason where the relevant country does not require the collection of a Tax Number or equivalent under domestic law).

### Section 3: Entity Classification\* Refer to Section 6 for Definition of Terms

Please provide the account holder's status by ticking one of the following boxes:

Financial Institution (proceed to Section 5)

Note: For a managed investment entity in a Non-Participating Jurisdiction, please tick Passive NFE and complete Section 4

Active Non-Financial Entity (NFE) (proceed to Section 5)

Passive Non-Financial Entity (NFE) (complete section 4)

### Section 4: Controlling Person(s) Refer to Section 6 for Definition of Terms

If the entity is identified as a Passive NFE, all controlling persons must be listed below and a Controlling Person Self-Certification provided for each. To obtain a copy of the Controlling Person Self-Certification please email: [info@heretaungabuildingsociety.co.nz](mailto:info@heretaungabuildingsociety.co.nz)

| Print Full Name(s)      | SOCIETY USE ONLY<br>(Existing customer) |
|-------------------------|---|
| 1. <input type="text"/> | <input type="text"/>                    |
| 2. <input type="text"/> | <input type="text"/>                    |
| 3. <input type="text"/> | <input type="text"/>                    |
| 4. <input type="text"/> | <input type="text"/>                    |
| 5. <input type="text"/> | <input type="text"/>                    |
| 6. <input type="text"/> | <input type="text"/>                    |

## Section 5: Declaration

I/We declare that all the information supplied and all statements made in this Declaration are, to the best of my/our knowledge and belief, correct and complete.

I/We authorise the Society to make any enquiries it considers necessary for confirmation of the above.

I/We acknowledge that:

- the information contained in this form and information regarding the Account Holder and any account(s) may be reported to the tax authorities of the country/ jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I/We undertake to advise Heretaunga Building Society within 20 days of any change in circumstances which affects the tax residency status of the Account Holder identified in this form or cause the information contained herein to become incorrect or incomplete (including any changes to the information on Controlling Persons identified in Section 3 such as (but not limited to), if the Account Holder is a Passive NFE trust, if a beneficiary has received a distribution from the trust or intends to exercise vested rights), and to provide Heretaunga Building Society a suitably updated self-certification and Declaration and relevant documentation (as requested) within 20 days (or a lesser period as requested by Heretaunga Building Society) of such change in circumstances.

I/We certify that all statements made in this Declaration also extend to any information that I/we (or an authorised person on my/our behalf) may supply to Heretaunga Building Society, in whatever manner, subsequent to signing this form.

Signature

Name

Date of Signature

Signature

Name

Date of Signature

### Note:

Please indicate the capacity in which you are signing the form (for example: Authorised Officer, Trustee).

Capacity

Capacity

## Section 6: Definition of Terms

### Financial Institution

Depository Institution, Custodial Institution, Specified Insurance Company or Investment Entity other than as set out for Active Non-Financial Entity (NFE).

Apart from more obvious entities such as banks, this can also include non-bank deposit takers, collective investment entities, mutual funds, private equity funds, hedge funds, investment managers and advisors, and certain brokers and trusts (including some managed family trusts).

For information on a managed investment entity in a Non-Participating Jurisdiction, please refer to [ird.govt.nz](http://ird.govt.nz) and search for 'CRS'.

### Active Non-Financial Entity (NFE)

A likely status for entities that derive the majority of their income, within a reporting year, through the course of an active trade or business (for example: retail or service-based businesses). For more information, please refer to [ird.govt.nz](http://ird.govt.nz) and search for 'CRS'.

### Passive Non-Financial Entity (NFE)

Main source of income is passive (for example: does your organisation have  $\geq 50\%$  passive income AND/OR  $\geq 50\%$  passive income generating assets (in the previous reporting period)). For more information, please refer to [ird.govt.nz](http://ird.govt.nz) and search for 'CRS'.

### Controlling Person

If the entity is a Passive NFE or a managed investment entity in a non-Participating Jurisdiction, the Controlling Persons of the entity must be identified. For companies, partnerships, associations, bodies corporate and any other legal persons, Controlling Person(s) means:

- the natural person(s) who ultimately has a controlling ownership interest (generally more than 25%) in the Entity;
- where no natural person(s) exercise control through ownership interest, the natural person(s) who exercise control of the Entity through other means;
- where no natural person(s) is identified as exercising control of the entity through other means, the natural person(s) who are senior managing official(s) of the entity.

For trusts, Controlling Persons 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), trustee(s), protector(s) (if any), 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. However, a discretionary beneficiary (that does not otherwise control a trust) should be treated as a Controlling Person if they have received a distribution from the trust and a class beneficiary (that does not otherwise control a trust) should be treated as a Controlling Person if they have received a distribution from the trust or intends to exercise vested rights.

The trust or trustee should inform Heretaunga Building Society if they make a distribution to such a beneficiary or when a beneficiary intends to exercise rights. Where a person connected to the trust (for example, the settlor, trustee, protector (if any), beneficiary(ies)) is an entity then you must also identify who the Controlling Persons of that connected entity are. Heretaunga Building Society may be required to report them as Controlling Persons of the trust.

For legal arrangements similar to a trust, Controlling Persons means persons in equivalent or similar positions to persons connected to a trust.

### SOCIETY USE ONLY

Customer Number