Guide to Identity Documents & Other Supporting Documentation

Required for all Fisher Funds investments (excludes KiwiSaver) when making an investment or a withdrawal for the first time

If you’re a current member of one of our KiwiSaver schemes, you may not need to provide some or all of the documentation required. Give us a call on 0508 347 437 or email enquiries@fisherfunds.co.nz to check.

Fisher Funds Managed Funds / Premium Service / Investment Series

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<td>Signature Required</td>
<td>Applicant(s) only</td>
<td>Trustee</td>
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ID Required

OPTION 1 — Electronic identity verification OR
OPTION 2 — A certified copy of a Passport or firearms license OR two certified forms of approved ID

Proof of address

A copy of bank statement, utility bill or NZ Government Department statement from within the last 12 months or other options as noted in the Proof of Address section on page 4 of this form; must be dated within the last 12 months

Withdrawal

If setting up a withdrawal from a Fund, a copy of a bank statement or deposit slip in the name of the account holder. If you’re making a withdrawal and have already provided identity documents and proof of address to us (after 30 June 2013) you don’t need to provide them again

Children Under 18

(Managed Funds and Premium Service only)

Please refer to the section below under OPTION 1 OR OPTION 2 titled ‘Children Under 18’ for our requirements

Additional Documents

None

Please refer to the section below titled: ‘Additional documents when investing for a Trust, Partnership, Company, Incorporated Society or Association’

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## Fisher Funds LifeSaver Plan

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<tr>
<th>Scenario</th>
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<th>ID Required</th>
<th>Proof of address</th>
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<tr>
<td>Individual Investor — Withdrawal</td>
<td>Applicant only</td>
<td>OPTION 1 — Electronic identity verification OR OPTION 2 — A certified copy of a Passport or firearms license OR two certified forms of approved ID</td>
<td>A copy of a bank statement, utility bill or NZ Government Department statement from within the last 12 months or other options as noted in the Proof of Address section on page 4 of this form; must be dated within the last 12 months</td>
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<td>Employee Investor — New to LifeSaver</td>
<td>Applicant and Authorised Employer Representative</td>
<td>OPTION 1 — Electronic identity verification OR OPTION 2 — A certified copy of a Passport or firearms license OR two certified forms of approved ID</td>
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</tr>
<tr>
<td>Employee Investor — Withdrawal from LifeSaver</td>
<td>Applicant and Authorised Employer Representative</td>
<td>OPTION 1 — Electronic identity verification OR OPTION 2 — A certified copy of a Passport or firearms license OR two certified forms of approved ID</td>
<td>If setting up a withdrawal from the Plan, a copy of a bank statement or deposit slip in the name of the account holder. If you’re making a withdrawal and have already provided identity documents and proof of address to us (after 30 June 2013) you don’t need to provide them again</td>
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## FuturePlan®, IndependencePlan®

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<td>Withdrawal — FuturePlan, IndependencePlan</td>
<td>Applicant(s) only</td>
<td>OPTION 1 — Electronic identity verification OR OPTION 2 — A certified copy of a Passport or firearms license OR two certified forms of approved ID</td>
<td>A copy of a bank statement, utility bill or NZ Government Department statement from within the last 12 months or other options as noted in the Proof of Address section on page 4 of this form; must be dated within the last 12 months</td>
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Withdrawal:
If setting up a withdrawal from the Plan, a copy of a bank statement or deposit slip in the name of the account holder. If you’re making a withdrawal and have already provided identity documents and proof of address to us (after 30 June 2013) you don’t need to provide them again.
Identity Verification

Applications or withdrawals must be submitted with one of the following identity verification options for each person referred to in Section 1 of the application or withdrawal form (unless in case of withdrawals, this information has already been provided).

**OPTION 1 — Electronic identity verification**

When making an investment or a withdrawal, please provide the information below (along with your application form or withdrawal form) which we will use to electronically verify your identity. If we are unable to identify you using this method, we will need you to provide certified identity documents according to **OPTION 2** further below.

<table>
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<tr>
<th>New Zealand Passport</th>
<th>New Zealand Driver licence</th>
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<tbody>
<tr>
<td>Passport number</td>
<td>Licence number</td>
</tr>
<tr>
<td>Expiry date</td>
<td>Version number</td>
</tr>
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**Proof of address**

Please provide proof of your physical address (not a PO Box) by sending us an invoice, statement, letter or contract in your name, dated within the last 12 months, from one of the following sources:

- Utility providers e.g. water, electricity, gas, telecommunications
- Professional service providers e.g. lawyer, accountant, doctor
- Major service providers e.g. Sky TV, internet provider, newspaper, insurance
- Central or local government correspondence e.g. Inland Revenue, benefit statement, rates notice
- Current employer payslip
- Bank correspondence

**Children under 18**

- Full birth certificate

PLUS:

- Identification (see option 1 or 2) for the adult(s) making the investment

In the case of minors, the parents / legal guardian’s proof of address is acceptable.

**Proof of bank account for withdrawals (does not need to be certified)**

If withdrawing from the Fund / Plan, one of the following is required in the name of the account holder:

- A copy of a bank statement
- A bank generated deposit slip
- Printed copy of an online bank statement (this must show the name of the bank account, the bank account number and the logo of your bank)

**OPTION 2 — Certified copies of identity documents**

Please provide one of the following:

- Passport (pages containing name, date of birth, photograph and signature)
- New Zealand firearms licence

OR

- New Zealand driver licence

Plus one of the following:

- Full birth certificate
- Certificate of citizenship
- SuperGold Card
- Bank statement from a registered bank dated within the last 12 months
- Statement from a government agency dated within the last 12 months
- New Zealand Pension Card
Certifying your identity documents

Under this option, your identity documents must be certified by one of the following people:

- Justice of the Peace
  (go to justiceofthepeace.org.nz to find one near you)
- Registered Teacher
- Notary Public
- Registered Lawyer
- Registered Doctor
- Member of Parliament
- Chartered Accountant
- Police Officer
- Registered Doctor
- Member of Parliament
- Chartered Accountant
- Police Officer

Identity documents cannot be certified by the following people:

- Yourself
- Someone who lives at the same address as you
- Someone related to you
- Your spouse or partner
- A person involved in the transaction e.g. a fellow trustee

The person certifying your documents must write the following statement on the copies of your documents:

“**I certify this to be a true copy of the original document and confirm it represents the identity of (full name).**”

The person certifying your documents must include the following details:

- Their name
- Their signature
- Their occupation
- The date of certification

Certification must have been carried out within three months of your application. If you wish, you may personally bring your identity documents to the Fisher Funds office and we will copy and verify your documents (do not send original passports or driver's licences in the mail).

Proof of address (does not need to be certified)

Please provide proof of your physical address (not a PO Box) by sending us an invoice, statement, letter or contract in your name, dated within the last 12 months, from one of the following sources:

- Utility providers e.g. water, electricity, gas, telecommunications
- Professional service providers e.g. lawyer, accountant, doctor
- Major service providers e.g. Sky TV, internet provider, newspaper, insurance
- Central or local government correspondence e.g. Inland Revenue, benefit statement, rates notice
- Current employer payslip
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- A bank generated deposit slip
- Printed copy of an online bank statement (this must show the name of the bank account, the bank account number and the logo of your bank)
Additional documents when investing for a Trust, Partnership, Company, Incorporated Society or Association

Each and all of the following persons associated with the account must provide personal identity verification, proof of address and proof of bank account (if applicable):

- Individual, person acting under Power of Attorney
- Trustee
- Company director, shareholders who are not directors or officers but who control more than 25% of the investor or other person on whose behalf the investment is made
- Authorised official or officer i.e. society president
- Any other person authorised to operate the account or who has the ability to significantly influence decisions of the investor or other person on whose behalf the investment is made (effective control)

Copies of the following documents (where applicable) must be submitted, except when these documents are publicly available on the Companies Office website. Copies of these documents do not need to be certified:

- Trust Deed (including amendments and any subsequent trustee appointment documentation);
- If the trust is a discretionary trust, charitable trust or any type of trust that has more than 10 beneficiaries, please provide a description of each class or type of beneficiary and for a charitable trust, the objects of the trust. For other trusts, please provide the names and dates of births of all trust beneficiaries;
- Partnership agreement;
- Company Certificate of Incorporation;
- Constitution, charter or rules for an incorporated society or association

For applications:

- Company applications must be signed by all directors or the minimum number of directors required by the company’s constitution;
- Trust and partnership applications must be signed by all trustees / partners unless evidence is provided showing alternative signing authorities;
- Incorporated society or association applications must be signed by authorised persons in accordance with the relevant constitutive document.