

Controlling person tax residency self-certification



This self-certification form records your personal information to fulfil our obligations under the Common Reporting Standard and the Foreign Account Tax Compliance Act. Please complete all sections of this form (all fields marked * are mandatory). Each controlling person for your entity needs to complete and sign a copy of this form.

How we protect your privacy:

To find out how we collect, use, and disclose your information, please see our Master Privacy Policy. You can ask us to send you a copy, or find it on our website: bnz.co.nz/privacy

Section 1: Personal details of the controlling person

Full legal name*

First
Middle
Last

Date of birth*

D	D	M	M	Y	Y
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IRD number (NZ only)

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NB: if no IRD number is provided and you are a NZ tax resident, a resident withholding tax (RWT) rate of 45% will be applied. If you are non-resident for tax purposes and you need to update your non-resident withholding tax rate, please send a secure message through Internet Banking or contact 0800 275 269.

NZ resident withholding tax rate:

10.5% 17.5% 30% 33% 39%

If you have provided your IRD number but not selected a tax rate, an RWT rate of 33% will be applied.

Physical address*

Street address	
Suburb	
Town/City	Postcode
Country	

Section 2: Countries of tax residence

Are you a United States Person under the Foreign Account Tax Compliance Act (FATCA)?* Yes No

US Persons include:

- US citizens, including people living outside the United States
- US permanent residents, including people with a green card
- people born outside of the United States with a US parent
- US tax residents
- certain persons who spend a significant number of days in the United States each year.

For more information, please refer to www.ird.govt.nz and search for 'FATCA'.

Are you a current tax resident of another country (not New Zealand)?* Yes No

If you answered Yes to either question above, please list all countries that you are a tax resident of in the table below.

Country of tax residence	Tax number (or equivalent)	No tax number (reason code^)	Please provide an explanation if using reason code B

^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** - The country doesn't need to issue a tax number or equivalent, or collect a tax number or an equivalent under domestic law. For more information on tax number requirements, please refer to www.oecd.org and search 'tax identification number'. If you are a US tax resident you are required under FATCA to provide your Tax Identification Number (TIN). A Social Security Number (SSN) is one type of TIN.

Section 3: Controlling person's relationship to the entity*

Please select your main relationship, which is applicable for:

Trust or legal arrangement:

For a trust, the controlling persons are the settlor(s), the trustee(s), the protector(s), the beneficiaries, or classes of beneficiaries, irrespective of whether they actually exercise control over the trust, and any other natural person exercising ultimate effective control over the trust. For a legal arrangement, controlling persons means persons in equivalent or similar positions to persons connected to a trust.

- Settlor
- Trustee
- Protector
- Beneficiary
- Settlor-equivalent (e.g. executor)
- Trustee-equivalent (e.g. general partner)
- Protector-equivalent
- Beneficiary-equivalent
- Other natural person having control

Legal person (e.g. company):

A controlling person is considered a natural person who exercises control over the entity. This is generally a person who:

- Control by ownership**
Has a controlling ownership interest (25% and more).
- Control by other means**
A natural person who exercises control over the entity through other means. Common examples include: secretary, treasurer, director.
- Senior managing official**
A natural person who holds the position of a senior managing official of the entity. Common examples include: president, director.

Section 4: Declaration

Please read the declaration and sign at the end of this section. If you are under the age of 13, a parent or legal guardian must sign this form on your behalf. If you're signing based on an authority granted to you utilising a Power of Attorney, please provide a certified copy of the document with this form.

- I certify that all the information supplied is true and complete.
- I certify that I am the account holder/controlling person, or am authorised to sign for the account holder/controlling person of all accounts to which this form relates, and/or all account(s) held by the entity(ies) of which I am a controlling person as specified in the controlling person section of the entity self-certification.
- I declare that all statements made in this Declaration are, to the best of my knowledge and belief, correct and complete.
- I undertake to advise BNZ within 20 days of any change in circumstances which affects the tax residency status of the individual identified above in this form or causes the information contained herein to become incorrect or incomplete, and to provide BNZ a suitably updated self-certification and Declaration and relevant documentation (as requested) within 20 days (or a lesser period as requested by BNZ) of such change in circumstances.
- I acknowledge that the information contained in this form and information regarding the account holder/controlling person 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/controlling person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
- I certify that all statements made in this Declaration also extend to any information that I (or an authorised person on my behalf) may supply to BNZ, in whatever manner, subsequent to signing this form.

Date of Signature

Please tell us if you are signing this form in your capacity as a legal guardian or holder of a power of attorney.

Where can I go to get more information?

Visit the following websites and search Common Reporting Standard or FATCA:

- bnz.co.nz
- New Zealand Inland Revenue's website www.IRD.govt.nz
- OECD's website www.oecd.org
- United States Inland Revenue Service's website www.IRS.gov

You can also talk to a tax adviser for further advice.

BANK USE ONLY

Customer Number