

ADVISER CODE (if applicable)

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## Milford Investment Funds - Intermediary Individual / Joint Name Application Form

Please complete all fields and return this form. If you have agreed to use **Electronic Identity Verification**, then you may scan and email your application to: **transactions@milfordasset.com**

If you are sending **certified copies of documents**, please post to: **Milford Funds Limited, PO Box 960, Shortland Street, Auckland 1140**

If you are applying on behalf of a minor, please contact us for the correct form.

### Investor Details 1

TITLE	FIRST NAME	MIDDLE NAME(S)	SURNAME
PREFERRED NAME	DATE OF BIRTH	OCCUPATION	
	/  /		
EMAIL ADDRESS (required for access to online client portal)	MOBILE PHONE NUMBER	HOME PHONE NUMBER	
PHYSICAL ADDRESS (cannot be a PO Box)	SUBURB		
CITY	COUNTRY	POSTCODE	
POSTAL ADDRESS (if different from physical address)	SUBURB		
CITY	COUNTRY	POSTCODE	

### Investor Identification

We have two options for clients to confirm their identity. Please select **one** of the options below.

#### Option 1 - Electronic Identity Verification and Proof of Address

Milford can confirm the identity and/or New Zealand address of many of our clients electronically, with their permission. Please note that we use an external third party system not owned by Milford to conduct identity checks in this way.

I confirm that I give Milford authority to check my identity and/or address electronically using the documentation provided. **I have included a copy of my current signed NZ Passport (preferred) or NZ Driver Licence (front & back).**

#### Option 2 - Certified Copies of Identity Documents

You can provide certified photocopies of your documents (we need the physical copy that has been certified).

I will provide certified identification documents. **For further detail on document requirements, including who can certify them and correct certification wording, see page 8.**

# Milford Investment Funds

## Individual / Joint Name Application Form (continued)

### Investor Details 1 (continued)

#### Tax Information

Are you a tax resident of New Zealand?  Yes  No

IRD NUMBER #

If IRD number is only 8 characters long, please leave first box blank.

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# For New Zealand residents, if no IRD number has been received within six weeks of joining the Fund, we are required by law to close your account.

Are you a US citizen or US tax resident?  Yes  No

Are you a tax resident in any other country (other than the US or NZ)?  Yes  No

If you answered 'Yes' to either of the above two questions please list all countries below and provide the Tax Identification Number ('TIN') for each country. If you are a US citizen or US tax resident your TIN will typically be your Social Security Number.

Country of Tax Residence	TIN (or reason why TIN was unable to be obtained)

For further information on your personal tax residency status please see

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency> or speak to a tax adviser.

#### Prescribed Investor Rate ('PIR') (Please tick appropriate box)

You can find out more about PIRs at [www.ird.govt.nz/pir](http://www.ird.govt.nz/pir). If you are unsure of your PIR, we recommend you seek professional advice or contact Inland Revenue. **If a PIR is not selected, or an IRD number is not supplied, a 28% PIR will apply.**

0% (Notified Foreign Investor)\*  0% (Transitional resident)\*  10.5%  17.5%  28%

\*Milford Global Equity Fund only. Please see additional documentation requirements in the Investor Guide to qualify for these PIR rates.

#### How did you hear about Milford? (Please select as many that apply).

Newspaper/magazine advertising  Online advertising  Online search  Radio  Social Media  Referral

TV/video advertising  Other \_\_\_\_\_

Milford Investment Funds  
Individual / Joint Name Application Form (continued)

Investor Details 2

TITLE	FIRST NAME	MIDDLE NAME(S)	SURNAME

PREFERRED NAME	DATE OF BIRTH	OCCUPATION
	/ /	

EMAIL ADDRESS (required for access to online client portal)	MOBILE PHONE NUMBER	HOME PHONE NUMBER

PHYSICAL ADDRESS (cannot be a PO Box)	SUBURB

CITY	COUNTRY	POSTCODE

POSTAL ADDRESS (if different from physical address)	SUBURB

CITY	COUNTRY	POSTCODE

**Investor Identification**

We have two options for clients to confirm their identity. Please select **one** of the options below.

**Option 1 - Electronic Identity Verification and Proof of Address**

Milford can confirm the identity and/or New Zealand address of many of our clients electronically, with their permission. Please note that we use an external third party system not owned by Milford to conduct identity checks in this way.

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**I have included a copy of my current signed NZ Passport (preferred) or NZ Driver Licence (front & back).**

**Option 2 - Certified Copies of Identity Documents**

You can provide certified photocopies of your documents (we need the physical copy that has been certified).

I will provide certified identification documents.  
**For further detail on document requirements, including who can certify them and correct certification wording, see page 8.**

Milford Investment Funds  
Individual / Joint Name Application Form (continued)

## Investor Details 2 (continued)

**Tax Information**

Are you a tax resident of New Zealand?  Yes  No

IRD NUMBER #

If IRD number is only 8 characters long, please leave first box blank.

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# For New Zealand residents, if no IRD number has been received within six weeks of joining the Fund, we are required by law to close your account.

Are you a US citizen or US tax resident?  Yes  No

Are you a tax resident in any other country (other than the US or NZ)?  Yes  No

If you answered 'Yes' to either of the above two questions please list all countries below and provide the Tax Identification Number ('TIN') for each country. If you are a US citizen or US tax resident your TIN will typically be your Social Security Number.

Country of Tax Residence	TIN (or reason why TIN was unable to be obtained)

For further information on your personal tax residency status please see <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency> or speak to a tax adviser.

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You can find out more about PIRs at [www.ird.govt.nz/pir](http://www.ird.govt.nz/pir). If you are unsure of your PIR, we recommend you seek professional advice or contact Inland Revenue. **If a PIR is not selected, or an IRD number is not supplied, a 28% PIR will apply.**

0% (Notified Foreign Investor)\*  0% (Transitional resident)\*  10.5%  17.5%  28%

\*Milford Global Equity Fund only. Please see additional documentation requirements in the Investor Guide to qualify for these PIR rates.

**How did you hear about Milford?** (Please select as many that apply).

Newspaper/magazine advertising  Online advertising  Online search  Radio  Social Media  Referral

TV/video advertising  Other \_\_\_\_\_

# Milford Investment Funds

## Individual / Joint Name Application Form (continued)

### Investment Details

#### Source of Funds/Wealth\*

Please tell us the original source of the funds you are investing with us. You may need to supply proof of the source of funds such as sale & purchase agreement, payslips, legal documentation.

- Inheritance/windfall  
  Property sale  
  Asset/Business sale  
  Personal income  
  Accumulated savings  
  Superannuation

Please provide further details about the source of funds. For example, sale of property at 123 Sample Street for \$600,000 on 21/06/2014.

#### Primary Purpose for the Investment\*

Please tell us the primary reason you are investing these funds with us.

- Retirement  
  Income  
  Investment  
  Other (please specify)

How do you intend to transact on this account?

#### Deposits (please select at least one)

- Regular  
  Now and then  
  Lump sum (one-off)

#### Withdrawals (please select at least one)

- Regular  
  Now and then  
  Lump sum (one-off)

\* Please note this information is requested solely in relation to Milford's Anti-Money Laundering and Countering Financing of Terrorism Act 2009 obligations and is not used to assess the suitability of your product selection, or to provide financial advice.

#### Investment Details

		Indicative Investment Amount (Minimum of \$1,000 Per Fund)	Distribution Options (If no option is selected, all distributions will be reinvested)	
Multi-Asset Funds	Milford Conservative Fund	\$	<input type="checkbox"/> Reinvest	<input type="checkbox"/> Direct Credit
	Milford Diversified Income Fund	\$	<input type="checkbox"/> Reinvest	<input type="checkbox"/> Direct Credit
	Milford Balanced Fund	\$	N/A	N/A
	Milford Active Growth Fund	\$	N/A	N/A
	Milford Australian Absolute Growth Fund	\$	N/A	N/A
	Milford Aggressive Fund	\$	N/A	N/A
Cash & Fixed Income Funds	Milford Cash Fund	\$	N/A	N/A
	Milford Trans-Tasman Bond Fund	\$	<input type="checkbox"/> Reinvest	<input type="checkbox"/> Direct Credit
	Milford Global Corporate Bond Fund	\$	<input type="checkbox"/> Reinvest	<input type="checkbox"/> Direct Credit
Equity Funds	Milford Global Equity Fund	\$	N/A	N/A
	Milford Trans-Tasman Equity Fund	\$	<input type="checkbox"/> Reinvest	<input type="checkbox"/> Direct Credit
	Milford Dynamic Fund	\$	N/A	N/A
Total		\$		

#### Payment details and process

**Please note your account must be established with Milford before we can accept any funds for investment.**

Once your account has been setup we will contact you with the appropriate bank account details and references for you to make a direct credit payment.

Milford Investment Funds  
Individual / Joint Name Application Form (continued)

New Zealand Bank Account Details

Please provide us with your bank account details, including proof of these.

- The bank account you provide will be the account we can accept payments from (you need to initiate the payment).
- Any withdrawal requests will be paid into this bank account.
- We recommend using your cheque account rather than a savings account.
- We are unable to accept payments from international or third party bank accounts.

ACCOUNT NAME (Must be in the same name as your Milford Funds holding)

BANK

BRANCH

ACCOUNT NUMBER

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BANK

BRANCH

ACCOUNT NUMBER

SUFFIX

Proof of bank account

Must be a NZ domiciled bank account in the name of the investor.

Please provide a bank record or document that:

- Was issued in the last 12 months
- Includes bank account name
- Includes bank account number
- Includes bank logo

Examples of this include a bank statement, letter from the bank, or mobile banking screen shot.

## Your Agreement

### Privacy Statement

1. The personal information you provide in this Application Form (and identity information collected in connection with this Application Form), or in the future, will be collected and held by Milford Funds Limited (“Milford”) for purposes relating to the administration, marketing, operation, security and management of the Funds, the provision of services to you, and compliance with any laws, rules and regulations whether in New Zealand or in any other country. Milford will do this in accordance with all applicable New Zealand privacy laws and our Privacy Policy which can be accessed on our website at [milfordasset.com/privacy-policy](http://milfordasset.com/privacy-policy). Your personal information may be disclosed to, and held and used by, the following persons:
  - The Supervisor of the Funds
  - Milford Asset Management Limited or any of its subsidiaries or related companies (together, the “Milford Group”)
  - Inland Revenue
  - Financial Markets Authority
  - Any third party, whether in New Zealand or elsewhere, that provides services to the Milford Group. In particular, if you have opted for electronic identity verification, the information will be shared with external agencies who may use a credit file header database to verify your address (note, this is not a credit check)
  - Your own financial adviser (and their staff), this only applies if you have notified us of this relationship (you are responsible for advising us if and when this relationship ends)
  - Any other person or entity where it is relevant to do so for the purposes set out above.
 We can also release personal information to third parties as instructed by you and in other ways permitted by the Privacy Act.
2. Your personal information may also be used by, and you consent to the use of your personal information by, Milford or any other member of the Milford Group to keep you informed about other financial opportunities, products and services of any Milford Group member, including by email, by text message, by Milford Group’s online portal or by any other electronic means. Any electronic communication offering other financial opportunities, products or services will include an unsubscribe facility.
3. You have the right to access and request correction to the personal information you have supplied, by contacting Milford on 0800 662 345 or by emailing us at [info@milfordasset.com](mailto:info@milfordasset.com). Any update to your personal information may be used to update other information held about you by any member of the Milford Group.

### Electronic provision of information

4. I/We consent to receiving any communication from the Supervisor or any member of the Milford Group electronically via Milford Group’s online portal, or at the email address specified in this Application Form, or any other email address advised to any Milford Group entity from time to time. These communications include those required by law and those provided in connection with your Fund, including annual reports, annual tax certificates and six-monthly transaction confirmations.

### Declaration

- I/We have received and read a copy of the Product Disclosure Statement dated 30 November 2023 (“PDS”), and understand that additional information about the Funds is available on the Funds’ online register entry.
- I/We agree to be bound by the terms and conditions of the PDS and the Trust Deed.
- I/We understand that the value of my/our investment is liable to fluctuations and may rise and fall from time to time.
- I/We accept that it is solely my/our decision to make this investment and that I/we have chosen the appropriate Fund for my/our risk tolerance and circumstances.
- I/We understand that Milford has not assessed the suitability of this investment for my/our personal financial situation, financial needs or goals.
- I/We understand the manner in which the fees will be deducted from my/our investment.
- I/We acknowledge that I/we will be unable to make any withdrawal from the Funds until Milford has received my/our signed withdrawal request and any supporting or identification information required.
- I/We understand that if Milford receives contradictory instructions from any persons authorised to operate my/our account, Milford can refuse to act on any or all such instructions.
- All the information I/we have provided in this Application Form is to the best of my/our knowledge and belief, correct and complete.
- I/We will immediately advise Milford about any changes to my/our personal details (including my/our residential or email address, telephone number, legal status or capacity).
- I/We undertake to notify Milford of any change in tax residency status or a change which causes the information to become incorrect or incomplete.
- I/We acknowledge and agree to the terms of the Privacy Statement and electronic provision of information above.
- Each party agrees that this Agreement may be in electronic form and signed by electronic means (including using DocuSign or Adobe Acrobat Sign or similar document execution software).

SIGNATURE OF APPLICANT

DATE



SIGNATURE OF APPLICANT (if relevant)

DATE

# Milford Investment Funds

## Individual / Joint Name Application Form (continued)

### Investor Identification

If you have opted not to use Electronic Identity Verification or did not pass this system check then you will need to provide the following documentation: **Please provide a certified photocopy of each document:**

- The documents can be verified by a Milford employee or certified by a Trusted Referee as described below.
- These documents cannot be scanned to us (we need the physical copy that has been certified).
- Please do not send in original versions of your identity documents.

#### 1. CERTIFIED COPY OF IDENTIFICATION

##### Option 1

One of the following:

- Current signed Passport (preferred)
- New Zealand Firearms Licence

**OR**

##### Option 2

- New Zealand Driver Licence (front and back)

In combination with one of the following:

- Bank statement dated within the last 12 months
- Valid credit or debit card with name embossed and signature
- Birth certificate
- Citizenship certificate
- Government agency letter (IRD, Work & Income, Electoral Commission) dated within the last 12 months
- SuperGold card with photo, name and signature

#### 2. PROOF OF ADDRESS

Must state name and physical address, cannot be a PO Box address.

One of the following documents that has been issued in the last 12 months:

- Bank statement (we accept downloaded bank statements)
- Current house or contents insurance policy or renewal statement
- Current vehicle registration
- Government agency letter (IRD, Work & Income, Electoral Commission)
- Utility bill (power, water, internet, fixed home phone, SKY)
- Rates bill
- Tenancy agreement
- Letter issued by local Health Board

#### 3. ACCEPTED TRUSTED REFEREES

Originals can be verified by a Milford employee **OR** certified by a Trusted Referee in accordance with the instructions outlined below. Certified copies of identification must be presented to Milford within three months of certification.

Identification must be certified by one of the following:

- Lawyer with a current practising certificate
- Chartered Accountant
- Member of the Police
- Justice of the Peace
- Registered Medical Doctor
- Registered Teacher
- New Zealand Honorary Consul
- Notary Public
- A person who has the legal authority to take statutory declarations or the equivalent in New Zealand
- If outside New Zealand, a person authorised by law to take a statutory declaration (or equivalent) in that country

The certifier must:

- For photographic ID, make the statement “**I certify this to be a true copy of the original which I have sighted and represents a true and correct likeness of [name of the person presenting the documentation for certification].**”
- For certification of other documents, make the statement “**I certify this to be a true copy of the original which I have sighted.**”
- Include their **name, occupation and capacity to be a certifier** e.g. registration number (if applicable), **signature and date** of certification.
- Not be living at the same address, a relative or spouse of the individual presenting the documents or, be involved in the transaction or business requiring the certification.



# Milford Investment Funds Individual / Joint Name Application Form (continued)

## RETURNING YOUR COMPLETED FORM

Please send your completed and signed application form with all supplementary documentation to:

1. If **all** applicants have agreed to use **Electronic Identity Verification**, then you may scan and email your application to **transactions@milfordasset.com** or to your client manager directly.
2. If you are sending **certified copies of documents**, please post to:

**Milford Funds Limited**  
**PO Box 960**  
**Shortland Street**  
**Auckland 1140**

### For use by financial advisers only.

#### APPLICATION ON BEHALF OF AN ADVISED CLIENT

FINANCIAL ADVICE PROVIDER

FINANCIAL ADVISER

ADVISER CODE

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## Financial Advice Provider Fee Authorisation (if applicable)

**Only complete this section if you want the fee payable for the financial advice you receive at this time to be deducted from your Milford account and paid to your Financial Advice Provider.\***

### Agreed fee for advice provided:

\$  paid as a one-off fee from your Milford account

Note: this will be referenced as a Portfolio Management Fee in your Milford client portal and on your Milford account statement

- I instruct you to deduct the fee from my Investment Fund(s) account and pay it to my Financial Advice Provider.



- I authorise Milford to provide my Financial Adviser with view only access to my investments and personal information. I understand if I would like to remove this access, I need to notify Milford to do so.

SIGNATURE OF APPLICANT

DATE

SIGNATURE OF APPLICANT (if relevant)

DATE

\* The Financial Advice Provider must have an Investment Funds Financial Adviser agreement with Milford.