

# AMP CAPITAL INVESTMENT FUNDS NEW ZEALAND AND AUSTRALIAN SHARES FUNDS

Product Disclosure Statement

Dated 18 July 2019

This document replaces the Product Disclosure Statement dated 3 December 2018.

# 1. Key information summary

### What is this?

This is a managed investment scheme. Your money will be pooled with other investors' money and invested in various investments. AMP Investment Management (N.Z.) Limited will invest your money and charge you a fee for its services. The returns you receive are dependent on the investment decisions of AMP Investment Management (N.Z.) Limited, and of its investment managers and the performance of the investments. The value of those investments may go up or down. The types of investments and the fees you will be charged are described in this document.

### What will your money be invested in?

There are three investment options offered under this Product Disclosure Statement (PDS).

These investment options are summarised below. More information about the investment target and strategy for each investment option is provided in section 3 of the PDS, "Description of your investment options" on page 6.

# Who manages the AMP Capital New Zealand and Australian Shares Funds?

The manager of the funds is AMP Investment Management (N.Z.) Limited (Manager).

See section 7 of the PDS, "Who is involved?" on page 8 for more information about us.

### What are the returns?

The return on your investment comes from:

- any increase or decrease in the unit price, and
- · any income distributions made from the fund.

The NZ Shares Fund distributes income half yearly. The Manager's policy is to distribute 72% of the income of each fund (adjusted for any imputation credits that may be available).

The other funds offered under this PDS do not distribute income.

See section 2 of the PDS, "How does this investment work?" on page 5 for more information.

### How can you get your money out?

You may at any time request the redemption of some or all of your investment. For each fund, payment will normally be made within 10 business days of the Manager receiving a redemption request from you.

We reserve the right to refuse a redemption request for less than \$50 or a redemption request that would result in you holding less than \$50 of units (except where all of your units are to be redeemed). We also have the ability, in certain circumstances, to suspend redemptions (for instance, where we believe, in good faith, that it is not practicable or would be prejudicial to investors' interests for the Supervisor to realise assets or borrow to permit redemptions - this could be because of market or asset conditions or other circumstances).

See section 2 of the PDS, "How does this investment work?" on page 5 for more information.

Your investment in the AMP Capital New Zealand and Australian Shares Funds can be sold but there is no established market for trading these financial products. This means that you may not be able to find a buyer for your investment.

### How will your investment be taxed?

All of the funds offered under this PDS are Portfolio Investment Entities (PIEs).

The amount of tax you pay in respect of a PIE is based on your Prescribed Investor Rate (PIR). To determine your PIR go to www.ird.govt.nz/toii/pir/.

See section 6 of the PDS "What taxes will you pay?" on page 8 for more information.

### Where can you find more key information?

AMP Investment Management (N.Z.) Limited is required to publish quarterly updates for each fund. The updates show the returns, and the total fees actually charged to investors, during the previous year. The latest fund updates are available at www.ampcapital.com. The Manager will also give you copies of those documents on request.

### **FUND CHARGES** SPREAD (ESTIMATED) RISK INDICATOR **FUND NAME DESCRIPTION** The fund is a diversified portfolio of 0.78% 0.30% / 0.30% **NZ SHARES** Potentially lower returns Potentially higher returns predominantly New Zealand shares FUND across a range of industries and sectors. 2 6 The fund may also invest in Australian shares. Environmental, Social and Lower risk Higher risk Governance characteristics are integrated into the underlying investment manager's investment process. The fund is a diversified portfolio of Potentially higher returns 0.49% 0.20% / 0.20% AUSTRALIAN Potentially lower returns Australian shares across a range of **SHARES FUND** industries and sectors. Environmental, 2 3 4 6 Social and Governance characteristics Lower risk are integrated into the underlying Higher risk investment manager's investment process. The fund is a diversified portfolio of 1.00% 0.30% / 0.30% ETHICAL Potentially Potentially higher returns lower returns predominantly New Zealand shares LEADERS NZ across a range of industries and 2 3 6 SHARES FUND sectors. The portfolio may also invest in Lower risk Higher risk Australian shares. The fund is managed to specific 'responsible investment' criteria which prohibits investments in certain companies or activities, and encourages investment in companies with strong Environmental, Social and Governance factors and also actively engages on key thematic engagements each year. This fund is governed by the Ethical Leaders Charter and has been certified by the Responsible Investment Association of Australasia (RIAA\*).

See section 4 of the PDS, "What are the risks of investing?" on page 7 for an explanation of the risk indicator and for information about other risks that are not included in the risk indicator. To help you clarify your own attitude to risk, you can seek financial advice or work out your risk profile at www.sorted.org.nz.

RIAA is the industry body representing responsible and ethical investors across Australia and New Zealand. For more information on RIAA and what certification means, please see the offer register at www.companiesoffice.govt.nz/disclose in the document titled 'Other material information', located under the 'Documents' tab on the managed fund offer register for the AMP Capital Investment Funds.

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# 2. How does this investment work?

This PDS is an offer to purchase units in the AMP Capital New Zealand and Australian Shares Funds. Each of the funds offered under this PDS is constituted within a managed investment scheme that is governed by a trust deed dated 24 November 2015 (the AMP Capital Investment Retail Funds Trust Deed).

The money you invest buys units in the fund or funds you choose. Each fund invests in assets, such as shares. The units do not give you legal ownership of the fund's assets but they do give you rights to the returns from the assets.

The price of each unit depends on the value of the fund at the time you invest and any buy spread that applies to that fund. We calculate the unit price for a fund by dividing the Current Value of the fund by the number of units the fund has issued. The unit price is calculated daily.

A change in the value of the fund's assets affects the value of your units. The unit price for a fund will change as the market value of that fund's assets changes.

The number of units you have, when multiplied by the unit price, gives you the total value of your investment in any one fund (although the impact of tax can result in a change in the number of units you hold, up or down).

The assets of a fund are not available to meet the liabilities of any other fund in the scheme.

Investing in managed funds can help you achieve your savings goals and create greater wealth for the future by offering you:

- Diversification. Pooling together large amounts of money enables fund managers to invest in a spread of assets which allows diversification and aims to reduce the risk of your investment portfolio. It also provides access to markets and securities that might otherwise be out of reach.
- Professional management. Employing the expertise and resources of a professional manager is particularly beneficial if you do not have the time or the skill to manage your own investments.
- Simplified investing. Fund managers take care of the paperwork involved in buying, selling, reporting and record keeping.

The return on your investment comes from:

- any increase or decrease in the unit price, and
- · any income distributions made from the fund.

The NZ Shares Fund distributes income half yearly. The Manager's policy is to distribute 72% of the income of each fund (adjusted for any imputation credits that may be available).

The distributions will be calculated on or about 31 March and 30 September in each year. The distributions will be made to those unit holders on the relevant fund's register of unit holders as at the close of business on the last business day prior to the day the distribution is calculated.

Distribution payments are intended to be made within five business days of the date on which the distribution is calculated.

You may elect to have all (but not part) of your distribution of income reinvested in further units (Reinvestment Option) and you can cancel, at any time, your election to reinvest in further units. A buy spread will not be charged on your reinvestment. Two weeks' notice is required of any changes to your election for those changes to be effective for a given distribution.

The Reinvestment Option may be varied, withdrawn or cancelled by us at any time, by giving not less than three months' notice to you.

The other funds offered under this PDS do not make distributions. Accordingly, any income of those funds is reflected in their unit price.

### **Making investments**

You can make an investment in any of the funds by completing the application form at the back of this PDS or invest online at www.ampcapital.com.

You may invest in one or more funds as long as you invest a minimum of \$50 in each fund. When you make an investment in a fund, we will issue units at the unit price for that fund, adjusted for the applicable buy spread for that fund.

We also offer these funds via selected administration and custodial services. When reading this PDS you should remember that if your investments are made through an administration and custodial service they will be held by a custodian on your behalf. You should refer to the administration and custodial service terms and the relevant marketing information about investing in the funds through that service.

### Withdrawing your investments

You may request a redemption of some or all of your investment at any time. For each fund, payment will normally be made within 10 business days of our receiving a redemption request from you. However, we have the ability, in certain circumstances, to suspend redemptions (for instance, where we believe, in good faith, that it is not practicable or would be prejudicial to investors' interests for the Supervisor to realise assets or borrow to permit redemptions – this could be because of market or asset conditions or other circumstances).

When you redeem all or part of your investment from a fund, we will redeem your investment at the unit price for that fund adjusted for the applicable sell spread for that fund.

We reserve the right to refuse a redemption request for less than \$50 or a redemption request that would result in you holding less than \$50 of units (except where all of your units are to be redeemed).

### How to switch between funds

You may at any time request to switch your investment between the funds offered under this PDS or to any other AMP Capital Investment Fund offered by us. A switch will be treated as a redemption from one fund or funds and an application into the other fund or funds.

You will not be charged a switch fee but the buy and sell spreads will apply on each redemption and application under the switch. More information about the buy and sell spreads can be found in section 5 of the PDS, "What are the fees?" on page 7.

This PDS provides information on the AMP Capital New Zealand and Australian Shares Funds. Information on other AMP Capital Investment Funds not offered under this PDS is provided in the following PDS documents:

- · AMP Capital Cash and Fixed Interest Funds PDS
- · AMP Capital Global Shares Funds PDS
- · AMP Capital Goals Based Funds PDS
- AMP Capital Property, Infrastructure and Commodities Funds PDS
- · AMP Capital Ethical Leaders Diversified Funds PDS
- AMP Capital Index Funds PDS
- · AMP Capital Global Companies Fund PDS.

# 3. Description of your investment options

FUND	SUMMARY OF INVESTMENT OBJECTIVES AND STRATEGY	TARGET ASSET MIX	RISK CATEGORY	MINIMUM SUGGESTED INVESTMENT TIMEFRAME
NZ SHARES FUND	<b>Objective:</b> To provide a Gross Return above the return of the S&P/NZX 50 Index (on a gross basis and including imputation credits) over a rolling three year period.	Australasian equities	4	5 years
	Strategy: Investment is in a diversified portfolio of New Zealand shares with the scope to hold Australian shares. The investment approach is research driven and involves determining financial forecasts of companies. The results of these forecasts are then compared against each company's current share price. The investment manager looks for companies which have a sustainable competitive advantage, good growth outlook and the ability to grow earnings. Environmental, Social and Governance characteristics are integrated into the underlying investment manager's investment process.	100%		
	The base position is for the Australian dollar exposure to be unhedged.			
AUSTRALIAN SHARES FUND	<b>Objective:</b> To provide a Gross Return above the return of the S&P/ASX 200 Accumulation Index (in NZD) on a rolling three year basis.	Australasian equities	5	5 years
	Strategy: Invests in shares listed, or about to be listed, on the Australian Securities Exchange, through investment in the AMP Capital Equity Fund, a unit trust managed by AMP Capital Australia. The investments of the AMP Capital Equity Fund are diversified across a range of industries and sectors, with a focus on the largest 200 companies. In constructing the portfolio, AMP Capital Australia employ a systematic rules-based approach. Environmental, Social and Governance characteristics are integrated into AMP Capital Australia's investment process.  The base position is for the Australian dollar exposure to be unhedged.	100%		
ETHICAL LEADERS NZ SHARES FUND	<b>Objective:</b> To provide a Gross Return above the return of the S&P/NZX 50 Index (on a gross basis and including imputation credits) over a rolling three year period.	Australasian equities	4	5 years
	Strategy: Investment is in a portfolio of predominantly New Zealand shares which is generally exposed to companies with a sustainable competitive advantage, a good growth outlook and the ability to grow earnings. The portfolio takes a responsible investment approach, which integrates Environmental, Social and Governance factors while avoiding companies or industries with recognised high negative social impact. This fund has been certified by the Responsible Investment Association of Australasia (RIAA*).	100%		
	The base position is for the Australian dollar exposure to be unhedged.			

\*RIAA is the industry body representing responsible and ethical investors across Australia and New Zealand. For more information on RIAA and what certification means, please see the offer register at www.companiesoffice.govt.nz/disclose in the document titled 'Other material information', located under the 'Documents' tab on the managed fund offer register for the AMP Capital Investment Funds.

The Manager can make changes to the Statement of Investment Policy and Objectives (SIPO) of any fund in accordance with the Trust Deed and the FMC Act 2013. Before making changes to the SIPO, the Manager will consider if the changes are in your best interests and consult with the Supervisor. We will give notice of changes to unit holders of the relevant fund prior to effecting any material changes. The most current SIPO for the funds can be found on the scheme register at www.companiesoffice.govt.nz/disclose.

The Manager's use of the various market indices referred to here is subject to certain terms, conditions and disclaimers as described in the offer register at www.companiesoffice.govt.nz/disclose in the document titled 'Other material information', located under the 'Documents' tab on the managed fund offer register for the AMP Capital Investment Funds.

Further information about the assets in each fund can be found in the fund updates at www.ampcapital.com.

# 4. What are the risks of investing?

### Understanding the risk indicator

Managed funds in New Zealand must have a standard risk indicator. The risk indicator is designed to help investors understand the uncertainties both for loss and growth that may affect their investment. You can compare funds using the risk indicator.



See section 1 of the PDS, "Key information summary" on page 3 for the risk indicators for the funds offered under this PDS.

The risk indicator is rated from 1 (low) to 7 (high). The rating reflects how much the value of the fund's assets goes up and down (volatility). A higher risk generally means higher potential returns over time, but more ups and downs along the way.

To help you clarify your own attitude to risk, you can seek financial advice or work out your risk profile at www.sorted.org.nz.

Note that even the lowest category does not mean a risk-free investment, and there may be other risks that are not captured by this rating.

This risk indicator is not a guarantee of a fund's future performance. The risk indicator is based on the returns data for the five years to 30 June 2019. While risk indicators are usually relatively stable, they do shift from time to time. You can see the most recent risk indicator in the latest fund updates for these funds.

### **General investment risks**

Some of the things that may cause the funds' value to move up and down, which affect the risk indicator, are:

### Market risk

Market risk is the risk of losses in a fund's investments arising due to the market prices of those investments changing.

This is of significance to the AMP Capital New Zealand and Australian Shares Funds as the assets of those funds are market linked, and are therefore susceptible to general market fluctuations and individual security price fluctuations.

### Currency risk

Currency risk is the risk of exchange rate fluctuations between the New Zealand dollar (the currency in which the funds are valued) and foreign currencies.

Currency risk will affect funds that invest in offshore assets that are not fully hedged back to New Zealand dollars. The AMP Capital New Zealand and Australian Shares Funds all have some or all of the assets invested offshore and therefore the returns of these funds can be affected by movements between the New Zealand dollar and other currencies if they are not adequately hedged.

The currency management policy for each fund is detailed in the SIPO.

### Concentration risk

Concentration risk arises when a fund's assets are concentrated in a particular security, investment vehicle or type of investment vehicle, geographical area or industry. In some circumstances these funds may be subject to higher credit and volatility risks than funds having a more diversified portfolio.

This is of significance to the NZ Shares Fund and Ethical Leaders NZ Shares Fund as these funds are concentrated in the New Zealand share market.

### Liquidity risk

In volatile market conditions, a fund's assets may not necessarily be as easily realisable as they may have been at a previous point in time, or may only be able to be realised at a lower value than might be expected in normal market conditions. This could have a negative effect on the value of a fund's assets and its performance, and in turn may affect the value of your investment and the returns you receive from the fund.

### 5. What are the fees?

You will be charged fees for investing in the AMP Capital New Zealand and Australian Shares Funds. Fees are deducted from your investment and will reduce your returns. If any of the funds invest in other funds, those other funds may also charge fees. The fees you pay will be charged in two ways:

Regular charges - for example annual fund charges. Small differences in these fees can have a big impact on your investment over the long

One-off fees - for example the initial buy spread fee.

### **Annual fund charges**

	MANAGEMENT FEES (excluding GST)	ESTIMATED ADMINISTRATION CHARGES (including GST)	TOTAL ANNUAL FUND CHARGES
NZ Shares Fund	0.75%	0.03%	0.78%
Australian Shares Fund	0.45%	0.04%	0.49%
Ethical Leaders NZ Shares Fund	0.75%	0.25%	1.00%

Management fees - We charge an annual management fee to each fund as set out above. GST is currently charged at 15% on 10% of the management fee in accordance with the non-binding IRD agreement with the Financial Services Council of New Zealand Incorporated on behalf of the funds management industry. GST on management fees is currently under review and therefore this percentage may change

Administration charges - These charges cover the general management of the fund e.g. supervisor, legal, custodian and audit fees. Subject to the exception noted below, they also cover charges payable in respect of the underlying funds that the above funds invest in. These charges are an estimate. Actual charges over the previous 12 months are available in the latest fund update.

### Individual action fees

Buy/Sell spreads

	BUY SPREAD	SELL SPREAD
NZ Shares Fund	0.30%	0.30%
Australian Shares Fund	0.20%	0.20%
Ethical Leaders NZ Shares Fund	0.30%	0.30%

### **Explanation**

**Buy/Sell spreads** - When you enter or leave a fund, any buy or sell spread applicable at that time will be a cost to you. The buy spread is added to the unit price on entry to the fund, and the sell spread is deducted from the unit price on exit from the fund. The buy/ sell spreads belong to the fund and are not fees paid to us or any investment manager. The purpose of buy/sell spreads is to make sure that any transaction costs incurred as a result of an investor entering or leaving the fund are borne by that investor, and not other investors in the fund. There is no GST charged on buy/sell spreads.

There are no other one-off fees currently being charged to any of the funds offered under this PDS.

### Example of how fees apply to an investor

Deborah invests \$10,000 in the Ethical Leaders NZ Shares Fund. A buy spread of 0.30% is incorporated in the unit price that she pays for her investment. This equates to \$30.

This brings the starting value of her investment to \$9,970.

She is also charged management and administration fees, which work out to about \$100 (1.00% of \$9,970). These fees might be more or less if the value of her investment has increased or decreased over the year.

### Estimated total fees for the first year

Individual action fees: \$30 Fund charges: \$100

See the latest fund update for an example of the actual returns and fees investors were charged over the past year.

This example applies only to the Ethical Leaders NZ Shares Fund. If you are considering investing in other funds in the scheme, this example may not be representative of the actual fees you may be charged.

### The fees can be changed

We can change fees from time to time. We can also add new fees. The rules about fee changes are in the Trust Deed which can be found on the scheme register at www.companiesoffice.govt.nz/disclose.

AMP Investment Management (N.Z.) Limited must publish a fund update for each fund showing the fees actually charged during the most recent year. Fund updates, including past updates, are available on the offer register at www.companiesoffice.govt.nz/disclose.

# 6. What taxes will you pay?

Each fund is a Portfolio Investment Entity. The amount of tax you pay is based on your PIR. To determine your PIR, go to www.ird.govt.nz/toii/pir/. If you are unsure of your PIR, we recommend you seek professional advice or contact the Inland Revenue Department. It is your responsibility to tell the Manager (or, if you invest through an administration and/or custodial service, the provider of that service) your PIR when you invest or if your PIR changes. If you do not tell the Manager (or the provider of the administration and/or custodial service you invest through, if applicable), a default rate may be applied. If the advised PIR is lower than the correct PIR, you will need to complete a personal tax return and pay any tax shortfall, interest, and penalties. If the default rate or the advised PIR is higher than the correct PIR, you will not get a refund of any overpaid tax.

### 7. Who is involved?

### About AMP Investment Management (N.Z.) Limited

AMP Investment Management (N.Z.) Limited is the manager of the funds.

You can contact us by:

Telephone: 0800 400 49 Overseas: +64 (4) 494 2157

Email: ampcapitalnz@ampcapital.com

In writing:

AMP Investment Management (N.Z.) Limited PO Box 3764

Wellington 6140 In person:

Level 1, Meridian Building, 55 Lady Elizabeth Lane Queens Wharf Wellington 6011

### Who else is involved?

who else is involved?					
TITLE	NAME	ROLE			
Supervisor	The New Zealand Guardian Trust Company Limited	Supervisor of the funds under the FMC Act, responsible for supervising AMP Investment Management (N.Z.) Limited as manager of the funds.			
Custodian	BNP Paribas Fund Services Australasia Pty Ltd	Appointed by the Supervisor to hold the assets of the funds on behalf of investors.			
Investment Manager	AMP Capital Investors (New Zealand) Limited	Makes decisions about what the funds invest in. The investment manager may also appoint sub-investment managers to manage fund assets.			
Investment Manager	Salt Funds Management Limited	Appointed by AMP Investment Management (N.Z.) Limited as investment manager of the NZ Shares Fund.			
		Makes decisions about what the funds invest in.			

TITLE	NAME	ROLE
Investment Manager	Harbour Asset Management	Appointed by AMP Investment Management (N.Z.) Limited as investment manager of the Ethical Leaders NZ Shares Fund.
		Makes decisions about what the funds invest in.
Administration Manager	AMP Capital Investors (New Zealand) Limited	Appointed by the Manager. Provides administration functions for the funds.

More information, including the Trust Deed, is available on the scheme register at www.companiesoffice.govt.nz/disclose.

# 8. How to complain

Any complaints or problems with the investment should be directed to the Manager using the contact details in section 7 of the PDS, "Who is involved?" on page 8.

In addition, the Manager is a member of Financial Services Complaints Limited, a dispute resolution scheme approved under the Financial Service Providers (Registration and Dispute Resolution) Act 2008. Under that scheme, if you have any complaints or problems with your investment, you should first try to resolve these with the Manager.

If your complaint cannot be resolved with the Manager, you may direct your complaint to:

Financial Services Complaints Limited 4th Floor, 101 Lambton Quay PO Box 5967, Wellington

Telephone: 0800 347 257 or (04) 472 3725

Fax: (04) 472 3728

The scheme will not charge a fee to any complainant to investigate or resolve a complaint.

If you are not satisfied with the outcome of your complaint you can contact the Supervisor:

Manager Corporate Trusts The New Zealand Guardian Trust Company Limited Level 2, Perpetual Guardian House 99 Customhouse Quay PO Box 3845, Wellington 6140

Telephone: (04) 901 5406

# 9. Where you can find more information

Further information relating to the AMP Capital New Zealand and Australian Shares Funds is available on the offer register and the scheme register at www.companiesoffice.govt.nz/disclose and a copy of information on the offer register or scheme register is available on request to the Registrar of Financial Service Providers.

### Other information we will provide

You can also obtain the following information, free of charge:

INFORMATION	HOW TO OBTAIN
Latest unit price	The latest unit price is available on our website: www.ampcapital.com.
Fund information relevant to you	You can inspect documents we hold that are relevant to you, and other documents that are legally required to be provided to you, at our offices during normal business hours, or request an extract of those documents, by written request to us.
Fund updates	The fund updates for the funds will be publicly available from our website and can be requested from us.

If you invest directly into the funds, we will send you confirmation information relating to your transactions when units are issued to you, as well as when you withdraw or transfer your units, and make available to you an annual report in respect of the scheme.

You will also be sent an annual tax statement which will include the amount of PIE income allocated to you and the amount of tax paid at your chosen PIR. You will also be asked to confirm your IRD number

You can find general information about us, the funds, and our management team on our website www.ampcapital.com.

# 10. How to apply

If you are making an investment directly with the Manager then you will be required to complete the application form at the back of this document.

### **GLOSSARY**

"AMP Capital Australia" means AMP Capital Investors Limited, a company incorporated in Australia.

"Australian Shares Fund" means AMP Capital Australian Shares Fund.

"Current Value" means the value of the assets of the fund less the value of the liabilities of the fund as defined in more detail in the Trust Deed.

"Ethical Leaders Charter" means the charter that has been established for the Ethical Leaders Funds, available at www.ampcapital.com/ethicalcharter.

"Ethical Leaders NZ Shares Fund" means AMP Capital Ethical Leaders NZ Shares Fund.

"FMC Act" means the Financial Markets Conduct Act 2013.

"Gross Return" means the return before the deduction of tax, expenses and fees and assumes all income is reinvested.

"Manager" means AMP Investment Management (N.Z.) Limited.

"NZ Shares Fund" means AMP Capital NZ Shares Fund.

"Trust Deed" means the AMP Capital Investment Retail Funds Trust Deed dated 24 November 2015 (as amended and consolidated from time to time).

Words or phrases not defined in this Glossary have the same meaning as in the Trust Deed.

# AMP CAPITAL NEW ZEALAND AND AUSTRALIAN SHARES FUNDS PDS DATED 18 JULY 2019



## FORM OF APPLICATION FOR UNITS - INDIVIDUALS

PLEASE REFER TO THE SECOND APPLICATION FORM IF YOU ARE A TRUST OR COMPANY Please print in black or blue pen in CAPITAL LETTERS.

STEP 1 WHAT TYPE OF INVESTOR ARE YOU?
Individual Joint ownership
Are you an existing client?
Yes* No * If yes, please advise client number
STEP 2 COMPLETE YOUR PERSONAL DETAILS
MAIN APPLICANT
Title Surname Given name[s]
Date of birth  D D M M M Y Y Y Y
Tax Status Prescribed Investor Rate (PIR)* IRD Number
NZ Resident
JOINT APPLICANT #1
Title Surname Given name[s]
Date of birth  D D M M M Y Y Y Y
Tax Status PIR* IRD Number
NZ Resident Non-Resident % PIR
JOINT APPLICANT #2
Title         Surname         Given name[s]
Date of birth  D D M M Y Y Y Y
Tax Status PIR* IRD Number
NZ Resident Non-Resident % PIR *For joint accounts we must use the highest PIR rate.
* To determine your PIR go to www.ird.govt.nz/toii/pir. If the PIR is invalid the default rate will apply.
Joint name
Address details
Unit number Street number Street name
Suburb/Town Postcode Day time phone
Mobile Email

STEP 3 FOREIGN TAX RESIDENCY (FTR) DI	ETAILS						
It is mandatory to provide your FTR status even if y	ou are also a taxpayer in New Zeala	nd.					
Are you applying to invest on your own account, not as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian							
Yes No If you have responded "no" ple	Yes No If you have responded "no" please call us on 0800 400 499.						
Are you a tax resident of a country other than New	v Zealand?						
Main Applicant Yes No Joint Applic	ant 1 (if applicable) Yes	No Joint Applicant 2 (if applicable) Yes No					
If "no" to the preceding question go to step 4.							
If you have responded "yes" please provide your de	tails in the following table						
MAIN APPLICANT							
Country of Foreign Tax Residency	*Tax identification number (TIN)	If you cannot provide the tax identification number, please					
		insert reason A or B from the list below					
1							
3							
4							
* A tax identification number is an identifying nun Zealand the IRD issues an IRD Number	nber used for tax purposes, normall	y issued by the local tax authority in a country – e.g. in New					
The reason the TIN is not available is:							
A The country of tax residence does not issue T	INs						
B The country of tax residence does not require	e TIN to be disclosed						
IOINT ADDUCANT 1 (IF ADDUCADIE)							
JOINT APPLICANT 1 (IF APPLICABLE)							
Country of Foreign Tax Residency	*Tax identification number (TIN)	If you cannot provide the tax identification number, please insert reason A or B from the list above					
1							
2							
3							
4							
JOINT APPLICANT 2 (IF APPLICABLE)							
Country of Foreign Tax Residency	*Tax identification number (TIN)	If you cannot provide the tax identification number, please insert reason A or B from the list above					
1							
2							
3							
4							
Further information about the "Foreign Tax Residucuments. (www.ampcapital.com/nz/servicing		on the AMP Capital website in "Learn about FATCA & CRS"					
STEP 4 AMOUNT OF UNITS APPLIED FOR							
I/We wish to invest NZ\$	to purchase Units Fund(s).	in the following AMP Capital New Zealand and Australian					
Applications must be for a minimum of \$50 in any	<i>r</i> Fund.						
AMP Capital NZ Shares Fund	NZ\$						
AMP Capital Australian Shares Fund	NZ\$						
AMP Capital Ethical Leaders NZ Shares Fund	NZ\$						
TOTAL INVESTMENT	NZ\$						

STEP 5 DISTRIBUTION PAYMENTS						
I/We elect to receive income distribution (if made) as follows:						
Reinvest in additional units in the Fund. Direct credit to bank account.						
Distributions will be made by direct credit, please	enter bank account details below:					
Name of Bank						
Account name						
Bank/Branch Account number	Suffix					
STEP 6 IDENTITY VERIFICATION OF NEW	APPLICANT					
Identity verification must be completed in all c Anti-Money Laundering and Countering Finance	ases where the applicant is new to the AMP Ca ing of Terrorism Act 2009).	pital Investment Funds (in accordance with the				
What CERTIFIED documents do I need to pro	vide?					
The documents we require from you to comply out below:	with the Anti Money Laundering (AML) & Cour	ntering Financing of Terrorism Act 2009 are set				
OPTION A	OPTION B	OPTION C				
One of the following primary forms of ID	One of the following primary non-	New Zealand Drivers Licence				
certified:	photographic forms of ID:	Plus ONE secondary or supporting				
New Zealand Passport	New Zealand Full Birth Certificate	document*:				
Overseas Passport  NZ Certificate of Identity	New Zealand Certificate of Citizenship  Overseas Birth Certificate or Citizenship	A bank statement or a statement by a government agency (eg. IRD				
New Zealand Firearms Licence	Certificate	Statement)				
New Zealand Refugee travel document	Plus ONE secondary or supporting form of	A document issued by a government				
or an Emergency Travel document	photographic identification:	agency that contains a name and signature (eg. Super Gold Card)				
	New Zealand Drivers Licence	A document issued by a registered				
	18+ Card	bank that contains a name and				
		signature (eg. an eftpos or credit/debit card)				
		Caru)				
AND ONE OF THE FOLLOWING FORMS OF	VERIFIED ADDRESS DOCUMENTS*:					
Bank Account Statement	Legal Document (e	g. Rental tenancy agreement)				
Rates or Utility Bill		vernment Department Document				
IRD Tax notice/certificate	Print screen from v	vww.whitepages.co.nz				
* All documents must be dated within the las	t 12 months and attached					
PLEASE LET US KNOW THE SOURCE OF FUI	NDS USED FOR THIS INVESTMENT:					
Property sale	Savings/investments					
Personal salary/wages	Sales of other assets i.e. business sale					
Inheritance/gift	Other (please specify)					
PLEASE LET US KNOW WHAT THE INTENDI	ED PURPOSE OF THIS INVESTMENT IS:					
Long term growth						
Regular income						
Other (please specify)						

HOW OFTEN AND FOR WHAT VALUE ARE YOU INTENDING TO TRA	NSACT ON THIS ACCOUNT (BUY AND SELL UNITS)				
Frequency of transactions:	Value per transaction:				
Daily	\$50 - \$500				
Weekly	\$500 - \$10,000				
Monthly	\$10,000 - \$100,000				
Annually	Other (please specify)				
One off investment					
Other (please specify)	_				
How do I certify copies of identification documents?					
Documents must be certified by an 'AML Trusted Referee' and certified	ed in the three months prior to providing the document.				
<b>AML TRUSTED REFEREES</b> The following categories of people are acceptable as AML Trusted Re	ferees:				
> Commonwealth representative (as defined in the Oaths and	> Notary Public				
Declarations Act 1957)	> Member of Parliament				
> Member of the police					
> Justice of the Peace	> Chartered Accountant (within the meaning of section 19 of the New Zealand Institute of Chartered Accountants Act 1996)				
> Registered medical doctor	> A person who has the legal authority to take statutory				
> Registered teacher	declarations or the equivalent in New Zealand.				
> Lawyer (as defined in the Lawyers and Conveyancers Act 2006)	Please note that we may need to contact you for additional details regarding your application.				
An AML Trusted Referee must be at least 16 years old and must no	t be:				
> the spouse or partner of the customer; or related to the custome					
	.,				
> a person who lives at the same address as the customer; or					
> a person involved in the transaction or business requiring certifi-	cation.				
WHEN VEDICUING IDENTIFICATION DOCUMENTS THE AMILTO	LICTED DEFEDEE MALICT.				
WHEN VERIFYING IDENTIFICATION DOCUMENTS, THE AML TR Sight the original documents, and write and sign the following form					
I, [full names of referee], [referee's occupation], certify as follows:					
	ustomer! that has been sighted by me today and				
2. The [name of document] represents the identity of [name of cu	stomer].				
Dated this [ ] day of [month] [year]					
Signed					
NB: Some people (especially the very young and elderly) may be una Please call us on 0800 400 499 if you require further guidance on ho					
Declaration (to be completed by adviser if required)					
I have sighted the original(s) of the document(s) referred to above and confirm that the document(s) are correctly described. I also confirm that the person(s) named in the Personal Details section of this application form and the person(s) identified in the document(s) referred to					
Politically Exposed Persons checks.	arding the source of the funds or the customer's wealth, and completed				
I have no reason to believe that each person listed above is not w	ho he or she claims to be.				
Signature	Date:				
Advisor details					
Adviser details					
Adviser Name	Adviser Number				
Adviser Business					

### **STEP 7 ACKNOWLEDGEMENTS**

Date

I/We have received and read the latest Product Disclosure Statement for the AAMP Capital New Zealand and Australian Shares Funds dated 18 July 2019 and understand that the terms and conditions of the Trust Deed will be binding on us. I/We agree to accept the Units issued to me/us by the Manager as a Unit Holder under the Trust Deed. I/We agree to be bound by the provisions of that Trust Deed (as duly amended from time to time). I/we acknowledge that AMP Investment Management (N.Z.) Limited, AMP Capital Investors (New Zealand) Limited and other members of the AMP group of companies (AMP Group) are subject to anti-money laundering, countering financing of terrorism and sanctions laws (AML Laws) in New Zealand, Australia and elsewhere. I/we agree not to do anything that could cause any member of the AMP Group to breach the AML Laws. I/we agree to provide each member of the AMP Group with all information and other assistance it reasonably requires to comply with the AML Laws. I/we agree to indemnify each member of the AMP Group against any loss it suffers as a result of me/us providing incorrect or incomplete information. I/we agree that no member of the AMP Group shall be liable to me/us or anyone else for any refusal to process or delay in processing a transaction I/we have requested or a suspension of my/our accounts with a member of the AMP Group in accordance with the AML Laws. I/we represent and warrant that I/We have no cause to believe the funds used to purchase Units in the Funds are the proceeds of crime or will be used to finance terrorism.

I/We confirm that I/we are authorised to provide the personal details presented in this application form.

I/We agree that all information about me/us disclosed in this form may be used by AMP Investment Management (N.Z.) Limited or disclosed to and used by AMP Capital Investors (New Zealand) Limited and the Supervisor for the purpose of managing the Funds and my/our holding, including compliance with the AML Laws.

I/We consent to my information being passed to and checked with the document issuer, official record holder, a credit bureau, and any other third parties authorised by AMP Investment Management (NZ) Limited for the purpose of verifying my identity and address.

I/We know that I/we can request such access to and correction of any information held about me/us by AMP Investment Management (N.Z.) Limited or AMP Capital Investors (New Zealand) Limited and the Supervisor. Notwithstanding the foregoing, I/we acknowledge that where a suspicious transaction report has been made about me/us, the person who has made that report is not able to give me/us access to any information about that report (including its existence) and I/we have no right to request information in that report be corrected. I/We will inform AMP Investment Management (N.Z.) Limited of any changes to the information provided by me/us to AMP Investment Management (N.Z.) Limited, AMP Capital Investors (New Zealand) Limited or the Supervisor.

I/We acknowledge that I/we may be required separately in relation to this application to pay a fee to AMP Capital Investors (New Zealand) Limited or an associated person.

I/we undertake to advise the recipient promptly and provide an updated self-certification form where any change in circumstances occur, which causes any of the information contained in Step 3 this form to be inaccurate or incomplete.

# STEP 8 DECLARATION AND SIGNATURE Joint holders should all sign this form. If this form is executed under Power of Attorney, the certificate of non-revocation of Power of Attorney below should be completed and a copy of the Power of Attorney forwarded with this form. Signature(s) of applicant(s) (if 18 years or older) MAIN APPLICANT Date JOINT APPLICANT #1 Date JOINT APPLICANT #2 Applicants under 18 years of age or where power of attorney exists Please complete and sign the following declaration if the application is being made: 1) for someone under the age of 18, the form must be signed by parent or legal guardian. 2) by an individual who holds Power of Attorney I can confirm that I have Power of Attorney in respect of the application (or in the case of an applicant under the age of 18) that I am a parent/legal guardian of the applicant and authorised to sign on the applicant's behalf and I confirm that I have read and accepted the information contained in section seven above on behalf of the applicant named in section two of this form. The parent/legal guardian or holder of Power of Attorney must provide documents that confirm their identity. Please see section six for details of what you must provide. **FULL NAME** Date of birth Relationship to applicant Telephone Signature

This Application Form must not be issued, circulated, or distributed unless accompanied by the Product Disclosure Statement dated 18 July 2019.

Cer	tificate of	non-revocation of Power o	f Attorney					
,				of				
Her	eby certif	īy:						
ГНА	AT, by a Po	ower of Attorney dated the		C	lay of			
						(Name of	person for whom atto	rney is signing)
арр	ointed m	e his/her/their attorney on	the terms and condit	ions set out in th	e Power o		'	<u>, , , , , , , , , , , , , , , , , , , </u>
		executed the application for erred upon me.	Units printed on the	face of this form	as attorn	ey under that Power o	f Attorney and pursua	nt to the powers
ГΗΑ	AT at the	date of this certificate I have	not received any not	tice or informatio	n of the r	evocation of that Powe	er of Attorney by the d	eath or
•		f the donor or otherwise.						
Sigr	ned at		This			day of		20
		- 4.4						
oigr	nature of	attorney						
ST	EP 9 M <i>A</i>	AKING PAYMENT						
Ар	plication	ı - cheques						
L.	Before	making any investment d	ecisions investors s	hould consider	the infor	mation available in t	he Product Disclosuı	re Statement.
2.	Please	note that our minimum ir	nitial investment is	\$50 per fund.				
3.	PLEASE	MAKE CHEQUE PAYABLE	TO: AMP Custodian	Services (NZ) L	imited –	PIP Application Acco	unt.	
1.	Post th	e Application Form and ch	neque to: Client Ser	vice Centre, PO	Box 3764	, Wellington 6140.		
5.	Once th	ne cheque is banked and f	unds are cleared, u	nits will be purc	hased in	the selected AMP Ca	ipital Investment Fu	nd(s).
5.	Once y	our units are issued, a Cor	nfirmation of Invest	ment letter will	be poste	ed to you.		
Ар	plication	ı - direct credit						
L.	•	making any investment d	ecisions investors s	hould consider	the infor	mation available in t	he Product Disclosui	re Statement.
2.	Please	note that our minimum ir	nitial investment is	\$50 per fund.				
3.		direct credit the total amoustodian Services (NZ) Lim						
1.	The crit	tical item for the direct cre etters of your surname an	edit is that the "cod	e" used in the c	ode field	is a six character alp	hanumeric code ma	de up of first
5.	Note o	n the Application Form th riginal Application Form a	at monies will be di	rect credited. So	an Appli	cation Form and sen		
5.	Once th	ne funds are cleared, units	s will be purchased	in the selected <i>i</i>	AMP Cap	ital Investment Fund	l(s).	
7.	Once y	our units are issued, a Cor	nfirmation of Invest	ment letter will	be poste	ed to you.		
f p	-	(by cheque or direct credit	t) is being made fro	m an account th	nat is not	in the name of the a	applicants(s) please ր	provide details
Var	me of pe	rson/entity making paym	ent:					_
Rela	ationshir	o to applicant:						_

Reason:

# AMP CAPITAL NEW ZEALAND AND AUSTRALIAN SHARES FUNDS PDS DATED 18 JULY 2019



# FORM OF APPLICATION FOR UNITS - TRUSTS/COMPANIES

Please print in black or blue pen in CAPITAL LETTERS.

STEP 1 WHAT TYPE OF INVESTOR AR	E YOU?
Trust	Partnership Incorporated society
Company	Unincorporated body/club
Company	Offineor poraced body/clab
ARE YOU AN EXISTING client?	
Yes* No * If yes, please ad	vise client number
STEP 2 COMPLETE INVESTOR DETAIL:	
Trust/Company name	
Address details	
Unit number Street number Street name	
Suburb/Town	Postcode Day time phone
Mobile E	mail
Tax Status	Prescribed Investor Rate (PIR)* IRD Number
NZ Non-NZ	% PIR
* To determine your PIR go to www.ird.govt.n	z/toii/pir. If the PIR is invalid the default rate will apply.
STEP 3 ADDITIONAL TAX DETAILS	
	tion even if you are also a taxpayer in New Zealand.
Further information about the "Additional Ta: (www.ampcapital.com/nz/servicingforms).	x Details" section can be found on the AMP Capital website in "Learn about FATCA & CRS" documents.
Non-individuals	
Is the Entity a Financial Institution? (A custod	ial or depository institution, an investment entity or a specified insurance company Yes No
for FATCA/CRS purposes)	naror depository institution, an investment entity of a specifical insurance company
If you have responded " <b>yes</b> " please proceed to addition to this application. This can be found	Step 4. You will also need to complete a separate Foreign Tax Residence Declaration Form - Entity in donline at www.ampcapital.com.
If the Entity is not a Financial Institution, is the Company, Government Entity, International Company	e Entity a Public Listed Company, Majority Owned Subsidiary of a Public Listed  Yes  No Organisation or Central Bank
If you have responded "no" please comple If you have responded "yes" please procee	
Step 3.1 - Foreign Tax Resident Details	
Is the Entity a tax resident of a country other	than New Zealand?
Step 3.2 - Foreign Controlling Persons	
Does the Entity have any controlling persons	who are tax residents of countries other than New Zealand?
controlling more than 25% of the shares in the partners.	ho directly or indirectly exercises control over the entity. For a company, this includes any beneficial owners a company. For a Trust, this includes trustees, settlors and beneficiaries. For a partnership this includes any
If you have responded "no" to both Step 3.1 a	nd Step 3.2 please proceed to Step 4.

If you have responded "yes" to either Step 3.1 or Step 3.2 you will also need to complete a separate Foreign Tax Residence Declaration Form - Entity in addition to this application. This can be found online at www.ampcapital.com.

STEP 4 AMOUNT OF UNITS APPLIED FOR						
I/We wish to invest NZ\$	to purchase Units in the following AMP Capital New Zealand and Australian Fund(s).					
Applications must be for a minimum of \$50 in any Fund.						
AMP Capital NZ Shares Fund	NZ\$					
AMP Capital Australian Shares Fund	NZ\$					
AMP Capital Ethical Leaders NZ Shares Fund	NZ\$					
TOTAL INVESTMENT	NZ\$					
STEP 5 DISTRIBUTION PAYMENTS						
I/We elect to receive income distribution (if made) as follows:						
Reinvest in additional units in the Fund. Direct cre	dit to bank account.					
Distributions will be made by direct credit, please enter bank account	unt details below:					
Name of Bank						
Account						
Account name						
Bank/Branch Account number	Suffix					
The state of the s						
Money Laundering and Countering Financing of Terrorism Act 2009  What VERIFIED documents do I need to provide?	licant is new to the AMP Capital Investment Funds (in accordance with the Anti-9).  Money Laundering (AML) & Countering Financing of Terrorism Act 2009 are set out					
STANDARD TRUST REQUIREMENTS:	STANDARD COMPANY REQUIREMENTS:					
A certified copy of the Trust Deed	IDs of the company directors verified (names, DOB and					
IDs of Trustees certified (names, DOB and Residential add	address as per below options)  IDs of the company shareholders if owning more than 25%					
as per below options)  Name and DOB of each Beneficiary	of shares verified (names, DOB and Residential address as per below options)					
Verified information of Source of Funds (eg. Bank statem or Sales and Purchase Agreement)	ent Ds of any authorised signatories if different from company					
IDs of any authorised signatories if different from Trusteverified (names, DOB and address as per below options). Please specify relationship to the investor.	directors (names, DOB and address as per below options) es Please specify relationship to the investor.					
Any other person who has effective control <sup>1</sup> of this invest (please specify their relationship to the investor).	Any other person who has effective control <sup>1</sup> of this investor (please specify their relationship to the investor).					

An example is an individual who exercises responsibility for senior management decisions, or similar, of the customer.

<sup>&</sup>lt;sup>1</sup> There may be individuals who have effective control over the investor, but do not have an ownership interest and are not a person on whose behalf a transaction is conducted. Effective control, ownership and persons on whose behalf a transaction is conducted are not always mutually exclusive.

OPTION A	OPTION B		OPTION C			
One of the following primary forms of ID	One of the following p	-	New Zealand Drivers Licence			
verified:	photographic forms of		Plus ONE secondary or supporting			
New Zealand Passport	New Zealand Full B		documents*:			
Overseas Passport	New Zealand Certif	•	A bank statement or a statement			
NZ Certificate of Identity	Overseas Birth Cert Certificate	ificate or Citizenship	by a government agency (eg. IRD Statement)			
New Zealand Firearms Licence	Plus ONE secondary of	r supporting form of	A document issued by a government			
New Zealand Refugee travel document or an Emergency Travel document	photographic identific		agency that contains a name and			
3 7	New Zealand Drive	rs Licence	signature (eg. Super Gold Card)			
	18+ Card		A document issued by a registered bank that contains a name and			
			signature (eg. an eftpos or credit/debit			
			card)			
AND ONE OF THE FOLLOWING FORMS OF	VERIFIED ADDRESS DOCU	MENTS*:				
Bank Account Statement		Legal Document (eg	g. Rental tenancy agreement)			
Rates or Utility Bill		Government or Gov	rernment Department Document			
IRD Tax notice/certificate		Print screen from w	ww.whitepages.co.nz			
_						
PLEASE LET US KNOW THE SOURCE OF FUI						
Property sale	Savings/investments					
Personal salary/wages	Sales of other assets					
Inheritance/gift	Other (please specify					
PLEASE LET US KNOW WHAT THE INTENDE	ED PURPOSE OF THIS INVE	STMENT IS:				
Long term growth						
Regular income						
Other (please specify)						
HOW OFTEN AND FOR WHAT VALUE ARE N	YOU INTENDING TO TRANS	SACT ON THIS ACCOUN	T (BUY AND SELL UNITS)			
Frequency of transactions:	V	/alue per transaction:				
Daily		\$50 - \$500				
Weekly		\$500 - \$10,000				
Monthly		\$10,000 - \$100,000				
Annually		Other (please speci	fy)			
One off investment						
Other (please specify)						
* All documents must be dated within the las	st 12 months and attache	d				
		-				
How do I certify copies of identification documents?  Documents must be certified by an 'AML Trusted Referee' and certified in the three months prior to providing the document.						
•		р				
AML TRUSTED REFEREES  The following categories of people are accept	able as AML Trusted Refe	rees:				
> Commonwealth representative (as defined	in the Oaths and	> Notary Public				
Declarations Act 1957)		> Member of Parliam	ent			
> Member of the police			ant (within the meaning of section 19 of the			
> Justice of the Peace		New Zealand Institu	ute of Chartered Accountants Act 1996)			
> Registered medical doctor			he legal authority to take statutory			
> Registered teacher			equivalent in New Zealand.			
> Lawyer (as defined in the Lawyers and Conv	veyancers Act 2006)	Please note that we may ne	ed to contact you for additional details regarding your			

application.

An AML Trusted Referee must be at least 16 years old and must not be:						
<ul> <li>&gt; the spouse or partner of the customer; or related to the customer; or</li> <li>&gt; a person who lives at the same address as the customer; or</li> <li>&gt; a person involved in the transaction or business requiring certification.</li> </ul>						
WHEN VERIFYING IDENTIFICATION DOCUMENTS, THE AML TRUSTED REFEREE MUST: ight the original documents, and write and sign the following form of certification on each of them:						
[full names of referee], [referee's occupation], certify as follows:						
This is a true copy of the [name of document] of [full name of customer] that has been sighted by me today, and						
The [name of document] represents the identity of [name of customer].						
ated this [ ] day of [month] [year]						
igned						
B: Some people (especially the very young and elderly) may be unable to fully comply with these requirements. lease call us on 0800 400 499 if you require further guidance on how to verify the identities by other means.						
Declaration (to be completed by adviser if required)						
I have sighted the original(s) of the document(s) referred to above and confirm that the document(s) are correctly described. I also confirm that the person(s) named in the Personal Details section of this application form and the person(s) identified in the document(s) referred to above are the same individual(s). I have recorded information regarding the source of the funds or the customer's wealth, and completed Politically Exposed Persons checks.						
I have no reason to believe that each person listed above is not who he or she claims to be.						
ignature Date:						
Adviser details						
Adviser Name Adviser Number Adviser Number						

### STEP 7 ACKNOWLEDGEMENTS

**Adviser Business** 

I/We have received and read the latest Product Disclosure Statement for the AMP Capital New Zealand and Australian Shares Funds dated 18 July 2019 and understand that the terms and conditions of the Trust Deed will be binding on us. I/We agree to accept the Units issued to me/us by the Manager as a Unit Holder under the Trust Deed. I/We agree to be bound by the provisions of that Trust Deed (as duly amended from time to time). I/we acknowledge that AMP Investment Management (N.Z.) Limited, AMP Capital Investors (New Zealand) Limited and other members of the AMP group of companies (AMP Group) are subject to anti-money laundering, countering financing of terrorism and sanctions laws (AML Laws) in New Zealand, Australia and elsewhere. I/we agree not to do anything that could cause any member of the AMP Group to breach the AML Laws. I/we agree to provide each member of the AMP Group with all information and other assistance it reasonably requires to comply with the AML Laws. I/we agree to indemnify each member of the AMP Group against any loss it suffers as a result of me/us providing incorrect or incomplete information. I/we agree that no member of the AMP Group shall be liable to me/us or anyone else for any refusal to process or delay in processing a transaction I/we have requested or a suspension of my/our accounts with a member of the AMP Group in accordance with the AML Laws. I/we represent and warrant that I/We have no cause to believe the funds used to purchase Units in the Funds are the proceeds of crime or will be used to finance terrorism.

I/We confirm that I/we are authorised to provide the personal details presented in this application form.

I/We agree that all information about me/us disclosed in this form may be used by AMP Investment Management (N.Z.) Limited or disclosed to and used by AMP Capital Investors (New Zealand) Limited and the Supervisor for the purpose of managing the Funds and my/our holding, including compliance with the AML Laws.

I/We confirm we 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 any other third parties authorised by AMP Investment Management (NZ) Limited for the purpose of verifying identities and addresses. I/We also confirm that if required, evidence of this consent can be produced.

I/We know that I/we can request such access to and correction of any information held about me/us by AMP Investment Management (N.Z.) Limited or AMP Capital Investors (New Zealand) Limited and the Supervisor. Notwithstanding the foregoing, I/we acknowledge that where a suspicious transaction report has been made about me/us, the person who has made that report is not able to give me/us access to any information about that report (including its existence) and I/we have no right to request information in that report be corrected. I/We will inform AMP Investment Management (N.Z.) Limited of any changes to the information provided by me/us to AMP Investment Management (N.Z.) Limited, AMP Capital Investors (New Zealand) Limited or the Supervisor.

- I/We acknowledge that I/we may be required separately in relation to this application to pay a fee to AMP Capital Investors (New Zealand) Limited or an associated person.
- I/we acknowledge that if I/we am/are a custodian applying on behalf of another person(s):
  - I/we warrant to the Supervisor and the Manager that the other person(s) has received a copy of the current Product Disclosure Statement for the funds, prior to this application being submitted; and

• that person(s) is my/our 'customer' in terms of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 and I/we have and will comply with my/our obligations in respect of that person(s) under that Act, including to verify the identity of that person(s).

I/we undertake to advise the recipient promptly and provide an updated self-certification form where any change in circumstances occur, which causes any of the information contained in Step 3 this form to be inaccurate or incomplete.

STEP 8 DECLARAT	ION AND SIGNATUR	<u>'E</u>									
1 2	ecute this form in accord f Attorney below should							J'	certifica	te of non	-
Signature(s) of applica	nt(s)										
TRUSTEE/DIRECTOR							Da	ate	D D	M M	ΥΥ
or											
TRUSTEE/DIRECTOR							Da	ate	D D	MM	Y
TRUSTEE/DIRECTOR							Da	ate	D D	M M	Y
Certificate of non-revo	ocation of Power of Atto	rney									
I,				of							
Hereby certify:											
THAT, by a Power of At	torney dated the			day	of						
						(Name	of person fo	r who	m attorn	ey is sign	ing)
appointed me his/her	/its attorney on the tern	ns and cond	ditions set out ir	n the Pov	ver of Attorne	y.					
THAT I have executed thereby conferred upo	the application for Units on me.	s printed or	n the face of this	form as	attorney und	er that Powe	er of Attorney	y and	pursuant	to the po	owers
THAT at the date of the liquidation of the done	is certificate I have not i or or otherwise.	received an	y notice or infor	mation o	f the revocati	on of that Po	ower of Attor	rney b	y the dea	ith or	
Signed at		This			day of					20	

### STEP 9 MAKING PAYMENT

### **Application - cheques**

Signature of attorney

18 July 2019.

- 1. Before making any investment decisions investors should consider the information available in the Product Disclosure Statement.
- 2. Please note that our minimum initial investment is \$50 per fund.
- 3. PLEASE MAKE CHEQUE PAYABLE TO: AMP Custodian Services (NZ) Limited PIP Application Account.
- 4. Post the Application Form and cheque to: Client Service Centre, PO Box 3764, Wellington 6140.
- 5. Once the cheque is banked and funds are cleared, units will be purchased in the selected AMP Capital Investment Fund(s).

This Application Form must not be issued, circulated, or distributed unless accompanied by the Product Disclosure Statement dated

6. Once your units are issued, a Confirmation of Investment letter will be posted to you.

### Application - direct credit

- 1. Before making any investment decisions investors should consider the information available in the Product Disclosure Statement.
- 2. Please note that our minimum initial investment is \$50 per fund.
- 3. Please direct credit the total amount noted on your application form from your bank account to: AMP Custodian Services (NZ) Limited PIP Application Account 02-0500-0936956-000.
- 4. The critical item for the direct credit is that the "code" used in the code field is a six character alphanumeric code made up of first three letters of your surname and any combination of numbers e.g. EDM001.
- 5. Note on the Application Form that monies will be direct credited. Scan Application Form and send to: query@ampcapital.com or; place Application Form in post to: Client Service Centre, PO Box 3764, Wellington 6140.
- 6. Once the funds are cleared, units will be purchased in the selected AMP Capital Investment Fund(s).

7. Once your units are issued, a Confirmation	tion of Investment letter will be posted to you.
If payment (by cheque or direct credit) is be here:	ing made from an account that is not in the name of the applicants(s) please provide details
Name of person/entity making payment:	
Relationship to applicant:	
Reason:	

# Contact details

### Wellington office

Level 1, Meridian Building 55 Lady Elizabeth Lane Queens Wharf Wellington 6011

PO Box 3764 Wellington 6140

### **Auckland office**

Level 16, PwC Tower 188 Quay Street Auckland 1010

PO Box 5346, Wellesley Street, Auckland 1141

### Telephone

0800 400 499 Overseas: +64 (4) 494 2157 8.30am - 5.00pm New Zealand time, Monday to Friday

E: ampcapitalnz@ampcapital.com W: ampcapital.com