Invest with Pie Funds

PieFunds

INDIVIDUALS AND JOINT

THANK YOU FOR CHOOSING US

1. Application form

Each of the following people associated with this account application must complete Section 1 (Application Form):

- all individuals and any person acting under Power of Attorney; and
- any other person authorised to operate the account or who has the ability to significantly influence decisions of the investor (effective control).

☐ I/We understand that, unless I/we specifically engage a Pie Wealth financial adviser or a Pie Investment Adviser, the Pie Client Services team can only provide factual information about Pie Funds' products and cannot give any financial advice, recommendation or opinion about any funds, include switching between different funds and diversification of my investment.

☐ I/We confirm that I/we have read and retained a copy of the Product Disclosure Statement(s) ("PDS") for the fund(s) that we are selecting to invest in today (for the Chairman's Fund the PDS is dated 1 September 2023 and for all other funds the PDS is dated 17 August 2026).

Fund selection

(Tick the fund/s you are investing in today, and indicate the investment amount.
Minimum initial investment of NZ$25,000 per fund or NZ$500,000 for Chairman's Fund.)

Australasian Growth

☐	Australasian Growth	$
☐	Australasian Growth 2	$
☐	Australasian Dividend Growth *(closed)*	$
☐	Australasian Emerging *(closed)*	$

Global Growth

☐	Global Growth	$
☐	Growth UK & Europe	$
☐	Global Growth 2	$

Diversified and Fixed Income

☐	Property & Infrastructure	$
☐	Fixed Income	$
☐	Conservative	$
☐	Chairman's	$

(Chairman's Fund minimum initial investment NZ$500,000)

Investor details *(Please use CAPITAL letters)*

If you are an existing client, please provide your unitholder number: P M

Investor 1

Title | First Name/s | Surname | Preferred Name

IRD Number | Prescribed investor rate (PIR) *(Tick one)* ☐ 10.5% ☐ 17.5% ☐ 28% | Occupation

Mobile | Home Phone | Email Address

Address | Date of Birth

Are you a foreign tax resident? ☐ No ☐ Yes. *If yes, please list the country and Tax Identification Number (TIN)*

Country | Tax Identification Number (TIN)

324566-08-26

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Investor 2

Title | First Name/s | Surname | Preferred Name

IRD Number | Prescribed investor rate (PIR) *(Tick one)* ☐ 10.5% ☐ 17.5% ☐ 28% | Occupation

Mobile | Home Phone | Email Address

Address | Date of Birth

Are you a foreign tax resident? ☐ No ☐ Yes. *If yes, please list the country and Tax Identification Number (TIN)*

Country | Tax Identification Number (TIN)

Investor 3

Title | First Name/s | Surname | Preferred Name

IRD Number | Prescribed investor rate (PIR) *(Tick one)* ☐ 10.5% ☐ 17.5% ☐ 28% | Occupation

Mobile | Home Phone | Email Address

Address | Date of Birth

Are you a foreign tax resident? ☐ No ☐ Yes. *If yes, please list the country and Tax Identification Number (TIN)*

Country | Tax Identification Number (TIN)

Guardian's details **(If you are investing on behalf of a minor – 17 years and under)**

Title | First Name/s | Surname | Preferred Name

IRD Number | Relationship to Investor/s | Occupation

Mobile | Home Phone | Email Address

Address | Date of Birth

What happens when the Minor turns 18 years old?

- They remain the legal owner of the account.
- They will now have sole and full authority over the account, including making transfer and withdrawal decisions.
- For the parent(s)/guardian(s), any authority over the account ceases at this time. Their portal access to view that particular account is also removed.
- We will email the parent/guardian to request the updated contact details and current identification documentation to be provided by the Minor to Pie Funds.

Investment details

Source of wealth *(Tick all that apply) **proof of this may be required at our discretion.*

☐ Earned income ☐ Savings/investments ☐ Inheritance ☐ Sales of assets

☐ Other *(please specify)* _____

Nature and purpose *(Tick all that apply)*

Reason for opening an account with Pie Funds:

☐ Investment ☐ Retirement ☐ Other (please explain) _____

How do you plan to transact on this account?

Deposits

☐ Regularly ☐ Ad hoc ☐ Lump sum (one off)

Withdrawals

☐ Regularly ☐ Ad hoc ☐ Lump sum (one off)

Payment (NZD)

Please deposit direct credit payments into the following account:

Investment amount *(Minimum of NZD$25,000 per fund or NZD$500,000 for Chairman's Fund)* _____

We are also set up as a bill payee with the major banks.
When making a payment online, just search for '**Pie Funds Registry Account**'.

Account Number	02-0500-0926889-00
Account Name	Pie Funds
Bank	Bank of New Zealand

Reference

	New Investor	Existing Investor
Particulars	Your account name	Your account name
Code	Fund (e.g. GlobalG2)	Fund (e.g. AustG2)
Reference	'New'	PM number (e.g. PM12345)

Nominated bank account *(where funds will be remitted from and to)*

Account Number _____
Bank Branch Account number Suffix

Account Name _____

Bank _____

Distribution instructions

(Please tick appropriate box for Dividend Growth Fund and/or Conservative Fund only)

☐ Reinvested by way of issue of new units

☐ Paid to nominated bank account
(Please provide proof of bank account)

Adviser details *(If applicable)*

If this application is by recommendation of a Financial Adviser independent to Pie Funds , please complete the following:

Adviser Name _____

Adviser Company Name _____

Adviser Code _____

Contact Phone Number _____

How did you hear about Pie Funds?

- ☐ Social media
- ☐ Friend or family member
- ☐ Pie KiwiSaver Scheme
- ☐ Internet search
- ☐ Kia Ora magazine
- ☐ Newspaper article
- ☐ Advertisement
- ☐ Event
- ☐ Professional *(i.e. lawyer/accountant)*
- ☐ _____
- ☐ Other *(please specify)*
- ☐ _____

2. Identification documents checklist

☑ **Please provide clear copies of the following documents along with your application form**

☐ **Identification** for each applicant and guardian with one of the identification options set out below.

Option 1 – Electronic identity verification

If you have a current New Zealand passport or driver's licence, we can electronically verify your identity and address. Once we have received your application, we will send you an SMS or email via our third-party partner to complete a biometric check.

Option 2 – Certified copies of identity documents and proof of address

Proof of Identity e.g. signed and valid passport or driver's licence

Proof of Address showing name and residential address (e.g. utility bill, or government department document) no older than 12 months. A PO Box is not a valid Proof of Address.

Certification

All documents will need to be certified by a trusted referee (e.g. chartered accountant, lawyer or police officer) and original copies provided. The trusted referee must sight the original documentary identification and make a statement to the effect that the documents provided are a true copy and represent the identity of the named individual.
The person certifying your documents must include their name, occupation, signature and date of certification.
Certification must have been carried out in the last 3 months preceding the presentation of the copied documents.

Investing for another person under power of attorney

Identification of the person in whose name the investment is being made. In addition:

☐ Copies of each Power of Attorney, and ☐ Certificate of Non-Revocation documents.

3. Declaration

Anti-Money Laundering and Countering Financing of Terrorism ACT 2009 (AML/CFT)

1. You (the applicant / investor) must not knowingly do anything to put Pie Funds Management Limited ("Pie Funds") in breach of any AML/CFT laws.
2. You agree to provide all additional information and assistance requested by Pie Funds and comply with all reasonable requests from us to facilitate our compliance with AML/CFT laws.
3. You represent and warrant that you are not aware and have no reason to suspect that:
   a) the money used to fund any investment by you is derived from or related to any criminal or other illegal activities, money laundering, terrorism financing or similar activities (Illegal Activities); and
   b) the proceeds of any investment will fund any Illegal Activities.
4. You agree that we are not liable for any losses incurred as a result of any action we take which either delays an account being opened with us or results in this application being declined, when these actions are necessary for us to comply with our obligations under AML/CFT laws.
5. You agree that Drivers licence and/or Passport details provided can be used to verify the person's identity and may be checked with the Drivers Licence Verification Service administrated by the New Zealand Transport Agency or with the Department of Internal Affairs confirmation service. You also agree that you are happy for us to retain this information on our files for future verification purposes to save you having to provide this information again.

Privacy Statement

This statement relates to the collection of your personal information that you are providing to Pie Funds Management Limited ('**Pie Funds**'), issuer of the Pie Funds Management Schemes ('**Scheme**'), and Apex Limited and its related entities ('**Apex**'), by way of this application and any personal information which you may provide in the future in your relation to your investment in the Scheme.

The personal information you have supplied may be used by Pie Funds, Apex and other service providers who provide services in relation to your investment in the Scheme for the purposes of enabling the arranging and management of your investment and to contact you in relation to your investment and to promote to you other products and services. If you are providing us with information about someone else, you confirm that that person has read and agrees to the collection and use of that information in accordance with this section.

Pie Funds will always keep your information confidential and retain it only for as long as is required by law. Where necessary, we may need to disclose your information under compulsion of law, where required by regulatory agencies (including the Financial Markets Authority Trustees Executors Limited ('**Supervisor**')), to any tax authority, or to our professional advisers where reasonably necessary for the performance of our services.

In addition, any information you provide, as well as your personal account information, may be used by your financial adviser or the distribution entity through which you joined the Scheme (if applicable) for the purpose of providing ongoing financial advice and/or services to you. Pie Funds will also use the information in accordance with the requirements of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 including for the purposes of electronic verification and may disclose information to such carefully selected external and independent agencies and entities as it considers appropriate for this purpose.

As a New Zealand Financial Institution, we are required to classify you for the purposes of the United States Foreign Account Tax Compliance Act ('**FATCA**') and the OECD Common Reporting Standards for Automatic Exchange of Financial Account Information ('**AEOI**') to meet our due diligence obligations. This may require the collection of certain information about the tax residency and citizenship of an individual investor or the persons who control an entity investor. We may then be legally obliged to pass on this information and other financial information with respect to the account to the Inland Revenue and they may exchange this information with tax authorities of another jurisdiction including the IRS in the United States.

Pie Funds will provide you (on request) with the name and address of any entity to which your information has been disclosed. Under the Privacy Act 2020 you have the right to access all personal information held about you by or on behalf of Pie Funds. If any of the information is incorrect, you have the right to have it corrected. You can contact Pie Funds using the details set out above or on +64 9 486 1701.

You agree that your name and address may be used by Pie Funds to provide you with a newsletter and other information about Pie Funds the Scheme, and other products and services.

Electronic Receipt of Documents

- I/We consent to receiving information from Pie Funds or Apex (or their agents) regarding my/our investment, electronically, to the email address provided on this Application Form, or to any other email address which I/we advise Pie Funds.
- If I/we provide instructions to Pie Funds or Apex (or their agents) electronically, I/we authorise them to act on any instructions which reasonably appear to have been provided from the email address provided on this Application Form, or by facsimile.
- I/We acknowledge that neither Pie Funds nor Apex accept any responsibility or liability whatsoever for any damage, costs, expenses, losses or liabilities incurred by any person as a result of Pie Funds or Apex acting on any instructions from an authorised email address or facsimile number. I/We agree to indemnify in all respects and hold harmless Pie Funds and Apex against all damage, costs, expenses, losses or liabilities which may arise by reason of Pie Funds or Apex accepting or acting on instructions from an authorised email address or facsimile number.

Declaration

By signing and dating this application form, I/We:

- confirm that I/we are authorised to provide the personal details presented and 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 authorised third parties for the purpose of verifying my identity and address. I also confirm that if required, evidence of this consent can be produced.
- have read and understood the Product Disclosure Statement for the Scheme and agree to be bound by the terms and conditions of the Governing Document relating to the Scheme available at www.companiesoffice.govt.nz/disclose.
- acknowledge that neither the Supervisor nor Pie Funds are liable to me for any loss as a consequence of the investment direction given on this form, or any later investment direction and that Pie Funds does not guarantee the performance of the investment funds.
- agree to the terms outlined above in relation to the Privacy Act 2020 and the supply of personal information, and have read and understood Pie Funds' Privacy Policy.
- understand that the Scheme is a vehicle for long-term investment and the value of my/our investment may rise and fall from time to time.
- understand the manner in which the fees will be deducted from my/our investment in the Scheme.
- have taken our financial capability into account when making my/our decision to invest in the Scheme.
- consent to receiving any communication from Pie Funds and Apex, including those required by law, financial statements and transaction confirmations, electronically via Pie Fund's online portal or at the email addresses specified in this application form, or any other email address advised to Pie Funds from time to time.
- confirm that I am/we are currently either resident in New Zealand or located in New Zealand at the time of joining Pie Funds, or an Australian wholesale client, or another category of investor agreed to by Pie Funds from time to time.
- declare that all statements made in this application are, to the best of my/our knowledge and belief, correct and complete. Furthermore, I/we will undertake to notify Pie Funds of any change in tax residency status or a change which causes the information to become incorrect or incomplete.
- have read and understand that my calls may be recorded for training and record keeping purposes. If you do not want calls to be recorded, please contact us via email clients@piefunds.co.nz or advise one of our investor service staff members.
- understand the information supplied by me with this application can be used to electronically verify my identity and may be disclosed for these purposes to third parties.
- agree that no personalised advice will be provided by Pie Funds, unless I specifically engage a Pie Wealth financial adviser or a Pie Investment Adviser. I acknowledge that the Client Services team can only provide me with factual information about Pie Funds' products.
- consent to the financial advice provider specified in this application or any other person it may authorise being able to access any information about my Pie Funds Management Scheme account.

Additional Provisions for accounts opened on behalf of a Minor

- Guardian authority over the account will cease when the Minor turns 18 years old. Upon turning 18 years old, the Minor will gain full ownership and control of the account.
- Withdrawals will require the signature of all signatories to this form until the Minor turns 18 years old.

Signatures

Signature of Individual 1

Date

Signature of Individual 2

Date

Signature of Individual 3

Date

Please email us the signed application and supporting documentation (if any required) to: clients@piefunds.co.nz