



Foreign Tax Residence Declaration Form

Entity

Where applicable attach this form to your application or alternatively mail or email this completed form to:

AMP Services (NZ) Limited
PO Box, 55 Shortland Street,
Auckland 1140, New Zealand

or
FTR@amp.co.nz

If you have any questions please contact your Adviser or call us on 0800 267 111 +64 4 439 5858 (overseas only)

Use this form to confirm:

- an entity's Foreign Account Tax Compliance Act (FATCA) status
- an entity's Common Reporting Standard (CRS) status
- whether the entity or any of its controlling persons are foreign tax residents.

An 'entity' includes a company, trust, partnership, association, registered co-operative, or government body.

This form can be completed on-screen by typing content directly into the PDF document. Once you have completed and signed this form please send it and any supporting documents to your Adviser or AMP directly at the address above.

A disclosure statement is available from your Adviser on request and free of charge.

(a) Entity details

Portfolio number (if available)

Entity Registration Number (if applicable)

Entity name

Registered address or principal place of business (PO Box is not acceptable)

Postcode

Country

Email

Please provide at least one contact phone number

Home phone

Work phone

Mobile phone

(b) Entity tax residency details

Please select **one** of the following to indicate the entity type:

1. A Financial Institution (an investment entity, custodial institution, depository institution or a specified insurance company for FATCA/CRS purposes) - If you have selected this box please complete either 1a or 1b (if applicable) and then proceed to 1.c

1a. Please provide, if held, the financial institutions Global Intermediary Identification Number (GIIN) obtained for FATCA purposes;

1b. If the financial institution does not have a GIIN, please provide its FATCA status by selecting one of the following;

- Deemed Compliant Financial Institution
- Excepted Financial Institution
- Exempt Beneficial Owner
- Non Reporting IGA Financial Institution - if the financial institution is a Trustee Documented Trust, please provide the Trustee's GIIN:
- Nonparticipating Financial Institution
- United States (US) Financial Institution
- Other (please describe the FATCA status of the entity)

(b) Entity tax residency details - Continued

1c. Is the financial institution an Investment Entity located in a non-participating CRS jurisdiction and managed by another financial institution?

Note: A list of CRS Participating jurisdictions can be found on the OECD website at [oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction/](https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction/)

Yes No

If you have selected no, please proceed to **Section e – Declaration**

If you have selected yes, please proceed to **Section c – Foreign controlling person’s details**

- 2. A Public Listed Company; Majority Owned Subsidiary of a Public Listed Company, International Organisation, Central Bank, New Zealand Registered Charity or a Deceased Estate
- If you have selected this box proceed to **Section e – Declaration**
- 3. A Foreign Charity or Active Non-Financial Entity* (NFE)
- If you have selected this box proceed to **Section d – Country of Tax Residency**
- 4. Other (any entity that has not previously been listed – Passive Non-Financial Entities)
- If you have selected this box proceed to **Section c – Foreign controlling person’s details**

*An active NFE is an NFE that derived less than 50% of its gross income from passive income (e.g. dividends, interest and royalties) and less than 50% of assets held produced passive income during the previous reporting period (financial year).

Note: Refer to the [oecd.org](https://www.oecd.org) website for details on other active NFE categories.

(c) Foreign controlling person’s details

A controlling person is any individual who directly or indirectly exercises control over the entity.

For a:

- company, this includes any beneficial owners controlling 25% or more of the shares in the company.
- trust, this includes trustees, settlors and beneficiaries.
- partnership, this includes any partners.

Does the entity have any controlling persons who are tax residents of countries other than New Zealand?

Yes - please provide individual details below (where applicable): No—go to **Section d**.

Controlling person 1 details

Title Mr Mrs Ms Miss Dr Other

Date of birth

First names

Surname

Residential address (a PO Box is not acceptable)

Postcode

What is the controlling person type? (select one only)

Entity: Legal person

Control by ownership Control by other means

Entity: Legal arrangement—trust

Settlor Trustee Beneficiary Other

	Country of foreign tax residency	Taxpayer Identification Number ⁴	No Taxpayer Identification Number ⁵ (tick one only)
1	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
2	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
3	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
4	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

⁴ A Taxpayer Identification Number (or functional equivalent) is an identifying number used for tax purposes which is normally issued by the local tax authority in a country (e.g. in New Zealand the Inland Revenue issues an IRD Number)

⁵ If you can't provide your Taxpayer Identification Number (or equivalent) please refer to the following **List of acceptable reasons for not providing a TIN** table and tick the relevant reason (ie A, B or C) above.

The list of acceptable reasons for not providing a TIN are;

A	My country of tax residence does not issue a taxpayer identification number.
B	My country of tax residence issues a taxpayer identification number but I currently cannot provide it.
C	My country of tax residence does not require my taxpayer identification number to be disclosed.

Controlling person 2 details

Title Mr Mrs Ms Miss Dr Other

Date of birth

First names

Surname

Residential address (a PO Box is not acceptable)

Postcode

What is the controlling person type? (select one only)

Entity: Legal person Control by ownership Control by other means**Entity: Legal arrangement—trust** Settlor Trustee Beneficiary Other

	Country of foreign tax residency	Taxpayer Identification Number ⁴	No Taxpayer Identification Number ⁵ (tick one only)		
1			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
2			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
3			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
4			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C

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Controlling person 3 details

Title Mr Mrs Ms Miss Dr Other

Date of birth

First names

Surname

Residential address (a PO Box is not acceptable)

Postcode

What is the controlling person type? (select one only)

Entity: Legal person Control by ownership Control by other means**Entity: Legal arrangement—trust** Settlor Trustee Beneficiary Other

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Controlling person 4 details

Title Mr Mrs Ms Miss Dr Other

Date of birth

First names

Surname

Residential address (a PO Box is not acceptable)

Postcode

What is the controlling person type? (select one only)

Entity: Legal person

Control by ownership Control by other means

Entity: Legal arrangement—trust

Settlor Trustee Beneficiary Other

	Country of foreign tax residency	Taxpayer Identification Number ⁴	No Taxpayer Identification Number ⁵ (tick one only)		
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(d) Country of Tax Residency

Is the entity a tax resident of a country other than New Zealand?

Yes - please provide details below (list if more than one country is applicable) No—go section E.

Note: Refer to the Inland Revenue website at ird.govt.nz for residency test calculators to help you determine your tax residency

	Country of foreign tax residency	Taxpayer Identification Number ⁴	No Taxpayer Identification Number ⁵ (tick one only)		
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2			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
3			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
4			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C

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(e) Declaration

This form must be signed by an authorised representative of the entity (eg director/trustee etc) or their financial adviser.

Entity declaration

By completing and signing this declaration, I certify that the information I have provided is true and correct.

I also 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 this form to be inaccurate or incomplete.

Representative name (Print in CAPITAL LETTERS)

Capacity (eg director/trustee etc.)

Signature

SIGN HERE

Date

D	D	M	M	2	0	Y	Y
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(f) For Adviser use only

Financial adviser declaration

By completing and signing this declaration, I certify that the individual named in this form has (verbally or in writing) confirmed (to me) the truth of the information provided and I have no reason to doubt its reasonableness.

AMP Adviser name (if applicable)

B	L	O	C	K		L	E	T	T	E	R	S							
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AMP Adviser number

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FSPN (please use your QFE's FSPN if you are a QFE Adviser)

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I confirm that I am an

- AFA (entitled to sell Category 1 Product)
- AMP QFE Category 1 Adviser
- Other _____

And I certify that the information provided in this Adviser Information Section is correct and that I have complied with the requirements of the Financial Advisers Act 2008 and all other applicable laws.

Signature of Adviser

SIGN HERE

Date

D	D	M	M	2	0	Y	Y
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*Checklist

Please check the application form has been completed correctly

- Have you completed all relevant sections of this form?
- Have you signed and dated the form where indicated?