



**\*Foreign Tax Residency Details**

\*Are you a tax resident of a country other than New Zealand?  Yes  No

If you have responded "no" please go to section (b) Transfer details.

If you have responded "yes" please provide your details in the below table before continuing;

	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			
2			
3			

A tax identification number is an identifying number used for tax purposes, normally issued by the local tax authority in a country – e.g. in New Zealand the Inland Revenue issues an IRD Number.

**The reason the TIN is not available is**

A The country of my tax residence does not issue TINs

B The country of my tax residence does not require TIN to be disclosed

**(b) \*Transfer details**

Your UK National Insurance Number or Tax Identification Number (if any)

Date you ceased to be resident in the UK for tax purposes (if relevant)

I am transferring the following funds

(if partial amount)

**OR**

All available funds

I am a NZ tax resident  Yes  No

Date you started to be resident in NZ for tax purposes

Please choose from one of the options below and complete the relevant details.

**Option 1 Directly from a UK registered pension scheme**

Name of your UK registered pension scheme provider

Address of your UK registered pension scheme provider

Membership number for your UK registered pension scheme

**Option 2 Directly from another Qualifying Recognised Overseas Pension Scheme (QROPS) or former QROPS**

Name of QROPS (or former QROPS)

Membership number for your QROPS or former QROPS

Date your UK sourced funds were transferred to the previous QROPS provider

**Pension Transfer Terms:** Please briefly set out the conditions imposed by the UK pension scheme or QROPS (if any)

**(c) \*Select your investment options**

<b>Investment option</b>	<b>% of your transfer</b>
Lifesteps Investment Programme	
AMP Conservative Fund	
AMP Moderate Fund	
AMP Moderate Balanced Fund	
AMP Balanced Fund	
AMP Growth Fund	
AMP Aggressive Fund	
AMP Capital Assured Fund	
AMP Ethical Balanced Fund	
AMP Global Multi-Asset Fund	
AMP Income Generator Fund	
AMP Cash Fund	
AMP New Zealand Fixed Interest Fund	
AMP International Fixed Interest Fund	
AMP Australasian Shares Fund	
AMP International Shares Fund	
AMP Passive International Shares Fund	
AMP Property Fund	
ANZ Conservative Fund	
ANZ Balanced Growth Fund	
ANZ Growth Fund	
ASB Moderate Fund	
ASB Balanced Fund	
ASB Growth Fund	
Mercer Balanced Fund	
Nikko AM Conservative Fund	
Nikko AM Balanced Fund	
Nikko AM Growth Fund	
<b>Total</b>	

You can choose **up to seven** investment options which must add up to 100% of the transfer amount.  
If you do not choose any investment options you will be defaulted into the Lifesteps Investment Programme.

**(d) Fees**

In the NZRT you will be charged the following adviser service related fees

A Service fee of  % (maximum of up to 0.80%)

A One-off Adviser fee of \$

These fees may change in the future. You will also be charged an Administration fee, Investment Management fee and other costs and expenses fees. Please refer to the NZRT Personal Superannuation Section Product Disclosure Statement and Fund Update Booklet for details of all the fees you may be charged in the NZRT.

**(e) \*Provide your identification to verify your identity and address**

Please complete Option 1 in the table below and attach copies of the requested document (please tick which document you are providing).  
If you **cannot provide a document from Option 1, then complete Option 2 or 3.**

**Option 1** ONE document from this section

<input type="checkbox"/> NZ passport (Identity page)	<input type="checkbox"/> NZ firearms licence
<input type="checkbox"/> Overseas passport (Identity page)	<input type="checkbox"/> NZ certificate of Identity

**Option 2**  NZ Driver's Licence **PLUS** (ONE of the of the documents from this section)

<input type="checkbox"/> Super Gold card	<input type="checkbox"/> NZ full birth certificate/Birth certificate issued by foreign government
<input type="checkbox"/> NZ citizenship certificate/Citizenship certificate issued by foreign government	<input type="checkbox"/> Bank statement or IRD statement issued in your name in the last 6 months

**Option 3**  18+ identity card **PLUS** (ONE of the documents from this section)

<input type="checkbox"/> NZ full birth certificate/Birth certificate issued by foreign government	<input type="checkbox"/> NZ citizenship certificate/Citizenship certificate issued by foreign government
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**IMPORTANT:** If you are providing previously certified identity documents, please ensure the documents have been certified not more than 3 months prior. Please attach only the certified photocopies of the original documents to this form.

**Proof of address**

As well as providing your identity documents you must also supply proof of your address. Tick one document option from this section. The document you supply needs to be addressed to you, and show the **residential** address detailed in section (a) and dated within the last 6 months.

- Letter or invoice from utility company
- Bank statement
- Letter from government agency (e.g. Inland Revenue, rates bill)

Please see section **(f) Certify or verify your documents** on the next page.

**(f) \*Certify or verify your documents – Please ensure all boxes are fully completed to assist processing**

Your documents can be certified by a trusted referee (use the first section below for certifying documents in New Zealand or use the second section below for certifying documents overseas), or verified by an Adviser/AMP employee acting as an agent of AMP (use the third section below). If you are having documents certified outside New Zealand, your trusted referee must be a person who is authorised to take statutory declarations under the laws of the overseas country, state or territory where the documents are being certified. For more guidance on who can act as a trusted referee overseas, please contact your Adviser or AMP.

**DECLARATION BY TRUSTED REFEREE (CERTIFYING IN NEW ZEALAND)**

I,  confirm that

1. I have sighted today the original of each document identified with a tick in section (e) above verifying the identity and address of the person named in section (a) of this form, and attached to this statement are true copies of those documents **initialled and dated** by me.
2. The documents that have been provided represent the identity of the person named in section (a) of this form.
3. I am a **(tick one of the following)**

- |   |  |  |  |
|---|--|--|--|
| <input type="checkbox"/> New Zealand Lawyer   | <input type="checkbox"/> Justice of the Peace  | <input type="checkbox"/> Notary Public               | <input type="checkbox"/> Registered Medical Doctor |
| <input type="checkbox"/> Chartered Accountant   | <input type="checkbox"/> Police Constable  | <input type="checkbox"/> Registered Teacher          | <input type="checkbox"/> Kaumātua                  |
| <input type="checkbox"/> Member of Parliament   | <input type="checkbox"/> Minister of Religion  | <input type="checkbox"/> Commonwealth Representative | <input type="checkbox"/> NZ Honorary Consul        |
| <input type="checkbox"/> Fellow of the New Zealand Institute of Legal Executives acting in the employment of a lawyer | <input type="checkbox"/> Registrar or Deputy Registrar of the High Court or a District Court |  |  |

4. I am not related to and do not live at the same address as the person named in section (a) of this form.

**Signature of trusted referee**

**Dated**

**OR**

**DECLARATION BY TRUSTED REFEREE (CERTIFYING OUTSIDE NEW ZEALAND)**

I,  confirm that

1. I have sighted today the original of each document identified with a tick in section (e) above verifying the identity and address of the person named in section (a) of this form, and attached to this statement are true copies of those documents **initialled and dated** by me.
2. The documents that have been provided represent the identity of the person named in section (a) of this form.

3. I am a

4. In this capacity, I am authorised to take statutory declarations under the laws of

5. I am not related to and do not live at the same address as the person named in section (a) of this form.

**Signature of trusted referee**

**Dated**

**OR**

**DECLARATION BY ADVISER/AMP EMPLOYEE (AS AGENT OF AMP)**

I,   confirm that

1. I have sighted today the original of each document identified with a tick in section (e) above verifying the identity and address of the person named in section (a) of this form, and attached to this statement, are true copies of those documents **initialled and dated** by me.
2. I have no reason to believe that this person is not who he/she claims to be.
3. AMP has authorised me to be its agent to conduct customer due diligence procedures and obtain any information required for customer due diligence under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 and I acknowledge that AMP is relying on me to perform those functions for it.
4. I am not related to and do not live at the same address as the person named in section (a) of this form.

**Signature of Adviser/AMP Employee**

**Dated**

## (g) Declaration

1. I apply for QROPS membership of the New Zealand Retirement Trust ("the NZRT"). I wish to transfer funds from a United Kingdom ("UK") registered pension scheme, or UK sourced pension funds from another former QROPS, to the NZRT.
2. I have received, read and understood the NZRT Personal Superannuation Section Product Disclosure Statement ("PDS") dated 20 October 2020 and Fund Update Booklet.
3. I understand my rights and benefits as a member of the NZRT.
4. AMP Wealth Management New Zealand Limited ("AMP" or the "Manager") is the manager and issuer of the NZRT. The Supervisor is The New Zealand Guardian Trust Company Limited ("Supervisor"). None of AMP, AMP's Adviser Business, the Supervisor, any of their related companies, their directors or any other person guarantees the NZRT, any investment in the NZRT, or any returns on an investment in the NZRT. For further information about the NZRT, please refer to the PDS and Fund Update Booklet.
5. If my application is accepted by AMP, I agree to be bound by the NZRT Trust Deed, the NZRT rules and the terms set out in the PDS and Fund Update Booklet.
6. I consent to receiving electronic messages and information regarding the NZRT and any other products, services or promotions offered by AMP (or related companies of AMP) and I agree, pursuant to the Unsolicited Electronic Messages Act 2007, that the person sending any such message need not include a functional unsubscribe facility in the message.
7. I acknowledge that choosing an investment option (or options) is solely my responsibility, AMP is not to be regarded as representing or implying that any particular investment option (or options) is (or are) appropriate for my personal circumstances and my investment choice is a binding direction from me to AMP.
8. I acknowledge that the Manager provides the service of transfers of UK sourced pension funds to the NZRT (the "Transfer Service") on an execution only basis.
9. I acknowledge that the Manager, its advisers and the Supervisor have not provided any advice as to whether or not I should transfer my UK sourced pension funds to the NZRT. Any advice I have received from them has been limited only to the benefits and risks of the NZRT and has not included consideration of UK issues.
10. I acknowledge that the Manager has recommended I seek professional independent UK advice if I intend on transferring funds directly from a UK registered pension scheme to the NZRT. I understand that this transfer may result in, among other things, the imposition of a UK tax liability or the adverse tax treatment of my UK sourced pension funds.
11. I acknowledge that if I am transferring funds direct from a UK registered pension scheme or any other foreign superannuation scheme to the NZRT, I may be liable to pay tax in New Zealand, and that any tax liability in New Zealand or elsewhere that arises as a result of the transfer (or the payment of a benefit from the NZRT) will be at my expense and my liability. I acknowledge that the Supervisor and the Manager are not tax advisers (and that neither they, nor any of the companies in the AMP group bear any liability or responsibility for any tax consequences that may arise as a result of a transfer to, or payment of a benefit from, the NZRT).
12. I acknowledge that the transfer of my UK sourced pension funds is based on UK and New Zealand legislation that may change, and that neither the Manager nor the Supervisor have any control over such changes or the impact that the changes may have on my UK sourced pension funds.
13. I agree to indemnify AMP, its advisers and the Supervisor to the fullest extent for any loss, liability, cost, tax, expense, demand or claim from a third party arising directly or indirectly out of the provision of this Transfer Service. AMP agrees to provide the Transfer Service with reasonable care, but does not otherwise accept any liability whatsoever.
14. I understand that any UK sourced pension funds transferred to the NZRT will be held in my NZRT QROPS Account and that these funds are ordinarily locked in until the UK 'Normal Minimum Pension Age' (currently age 55) unless I qualify for an ill-health or serious ill-health benefit.
15. I understand that any unauthorised withdrawals or transfers that I make from my NZRT QROPS Account could render me liable for HMRC unauthorised payment charges, which could be up to 55% of the withdrawal or transfer amount. I understand that these charges may apply if, when I make the withdrawal or transfer :
  - (i) I am a UK resident, or have been a UK resident at anytime in the current or preceding 10 UK tax years; or
  - (ii) the original transfer of a UK registered pension scheme occurred within 5 UK tax years of the transfer or withdrawal.
16. I understand that the QROPS rules deem any withdrawal from NZRT to come first from my QROPS account. This means that if:
  - (i) I have non-UK sourced pension funds with, and/or
  - (ii) I make ongoing contributions to the NZRT (including any of the NZRT sections), then I will only be able to make a withdrawal from my other NZRT accounts once I am entitled to make a withdrawal from my QROPS account (and then in accordance with the usual NZRT withdrawal rules).
17. I acknowledge that the Manager may decline my withdrawal application if allowing the withdrawal would jeopardise the NZRT's QROPS status.
18. I acknowledge that the Manager is not under any obligation to match or better any benefit that may have been received from my UK registered pension scheme.
19. I understand that my UK registered pension scheme provider or existing QROPS may charge me a fee for the transfer of my UK sourced pension funds, and this fee shall be payable by me, or may be deducted by such provider, from my UK sourced pension funds. I understand that if I am transferring funds to the NZRT direct from a UK registered pension scheme then my funds will be converted from GBP sterling to NZ dollars and the currency risk of this conversion is entirely my own. I understand that the provider converting my UK sourced pension funds from GBP sterling to NZ dollars may charge a fee and/or spread on such conversion.
20. I acknowledge that the information provided by me as part of this transfer application and any subsequent information provided in connection with this application and/or my membership, either by me, the Inland Revenue or any other authorised party, will be used by AMP and the administration manager to verify my identity, process my application and to administer my membership of the NZRT ("Permitted Purposes"). I authorise AMP to collect information in relation to this application and my membership of the NZRT, from the parties referred to above. I acknowledge that the information provided to AMP may be disclosed for the Permitted Purposes to other parties where relevant, including the Supervisor, the Inland Revenue, HMRC, my Adviser or another intermediary or distributor or to any other party as required to administer my membership. The information may also be used by AMP or third parties to offer me other products or services made available by the AMP group, and for market research purposes. I acknowledge that I have rights of access to, and correction of, the information about me held by AMP or the Supervisor of the NZRT subject to the provisions of the Privacy Act 1993 and amending legislation. I can exercise these rights by contacting AMP.
21. Irrevocably agree to provide the Manager and/or the Supervisor with all information it requests to enable it to report to HMRC or any other authority and I irrevocably authorise the Manager to provide any personal and other information about me to HMRC (unless it is satisfied with evidence from me that a reporting exemption applies).
22. I acknowledge that neither the Supervisor nor the Manager represents that the NZRT will retain QROPS status and that loss of this status may impact my UK tax position.
23. I understand that if the Manager accepts these instructions, transferring my UK sourced pension funds directly from a UK registered pension scheme may take more than six months to complete (depending on the UK registered pension scheme's requirements) and that the Manager may decline to proceed with the transfer if, for any reason, the transfer is considered unlikely to proceed.
24. I instruct the Manager to proceed with this transfer. I have been made aware of and understand any specific forfeiture provisions in my UK registered pension scheme. I confirm that I will be transferring these UK sourced pension funds for the purpose of retirement.
25. I authorise the Manager to act on and to sign such forms and documents on my behalf as may be necessary to complete this transfer, until the UK sourced pension funds have been transferred into the NZRT, or earlier if AMP advises otherwise.
26. I understand that AMP will not accept transfers from Protected Rights plans, Defined Benefit schemes, Contracted Out Money-Purchase Schemes or Contracted Out Salary-Related Money-Purchase Schemes, or Guaranteed Minimum Pensions or from any UK registered pension scheme in which I have elected either Enhanced or Primary Protection.
27. I understand that a 25% UK overseas transfer charge may apply if I cease to be a New Zealand tax resident within five full UK tax years of the date that I transfer my UK sourced pension funds out of my UK pension scheme ("five year period").
28. I undertake that if during the five year period I cease to be a New Zealand tax resident, I will to notify the Manager within 60 days of the change of residence. I understand that if a UK overseas transfer charge becomes payable to HMRC then this charge may be deducted from funds held in my NZRT QROPS account, and paid to HMRC on my behalf. If there are insufficient funds in my NZRT QROPS account to pay this charge then I will indemnify the Manager for the shortfall.

**(h) \*Your signature**

I acknowledge and confirm my acceptance of the above terms

Member's signature

SIGN HERE
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Date

D	D	M	M	Y	Y	Y	Y
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**(i) \*For Adviser use only**

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 have completed accreditation for QROPS and 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
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Date

D	D	M	M	Y	Y	Y	Y
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**\*Checklist**

Please check you have completed the form correctly

- Have you completed all sections with an \*?
- Have you received and read a copy of the NZRT Personal Superannuation Section PDS and NZRT Fund Update Booklet?
- Have you completed the Identity verification in section (e)?
- Has the declaration by an agent or trusted referee been completed (signed and dated) in section (f)?
- Have you attached verified copies of identity documents and proof of address?
- Have you signed and dated the application in section (h)?
- Has your Adviser completed section (i)?