

Application Form

This application form accompanies the Investor Presentation dated May 2023 and is issued by Foster Capital NZ Limited company number 4966940. You must read the Information Memorandum before completing this application form.

Please complete this form in CAPITAL LETTERS.

1. TYPE OF INVESTOR

What type of investor are you?

Individual	Partnership	Company	Joint ownership
Trust	Retirement scheme	Estate	Other

Are you an existing unitholder?

Yes *(please provide unitholder number)*

No

2. INVESTOR DETAILS

A. Non-Individual Details – Company / Trust or Other Entity

Full name of customer

Country established, if not New Zealand

Principal place of business

Principal business / trust activity

IRD number

Trust Name (if applicable)

and date established

DD MM YY

/ /

B. Individual – Complete For Each Applicant, Director, Trustee Where Relevant

Title (Mr / Mrs / Ms / Miss)

First name(s)

Surname

Date of birth DD MM YY
 / /

IRD number

Tax status: Resident Non-resident

Details of major source of funds used for this investment. Please provide evidence:

Personal employment Inheritance Business earnings

Other *(please specify)*

Expected frequency of additional investment *(if applicable)*

Weekly Fortnightly Monthly Quarterly Half-yearly

Annually As funds permit Never

Expected source of funds for additional investments *(if applicable)*

Personal employment Inheritance Business earnings Sale of property

Other *(please specify)*

3. CONTACT DETAILS

Physical address

Unit No

Street No

Street Name

Suburb

City

Postcode

Country

Postal address *(if different from physical address)*

Unit No

Street No

Street Name

Suburb

City

Postcode

Country

Home phone

Work phone

Email address

4. INVESTMENT DETAILS

I/We wish to invest the following amounts (in NZD) in the Colt Emerging Companies Fund

\$

5. BANK ACCOUNT & DISTRIBUTION

Account name

Bank name

Branch name

Account number

We may make distributions of income or capital from the Fund in the future. Please specify whether you would like any distributions to be paid to your bank account or reinvested in additional units in the relevant Fund. If no option is selected, distributions will be reinvested.

- Reinvest in additional units
- Direct credit to the above bank account

6. IDENTITY VERIFICATION

The Anti-Money Laundering and Countering Financing of Terrorism Act 2009 requires us to verify the identity of new investors in the Colt Emerging Companies Fund. In order to carry out this verification and to satisfy our internal policies we are required to carry out Customer Due Diligence on our Investors. **We work with an external provider First AML Limited, to carry out Customer Due Diligence on our behalf. First AML may contact you to request information.**

7. PRIVACY ACT 1993

This statement relates to the personal information that you are providing to Foster Capital NZ Limited, as manager of the Colt Emerging Companies Fund, by way of this application and any subsequent personal information which you provide in the future. The personal information you have supplied may be collected, used, stored, and shared by Foster Capital NZ Limited (and any of their related entities and service providers) for the purposes of enabling them to arrange and manage your investment, and to contact you in relation to your investment. Foster Capital NZ Limited will provide you (on request) with the name and address of any entity to which it has disclosed your information. You have the right to access all personal information held about you by Foster Capital NZ Limited. If any of the information is incorrect, you have the right to request to have it corrected. You acknowledge that you are authorised to provide personal information on behalf of the applicant and evidence of this authority is provided (in the case of a parent/guardian/ other providing information about the applicant). You agree that your/each of your names and addresses may be used by Foster Capital NZ Limited to provide you with newsletters and other information about the Colt Emerging Companies Fund and other products and services, and for the purposes outlined in this section and the declaration below.

8. DECLARATION

I/We confirm that I/we:

- have received, read, and retained a copy of Investor Presentation dated June 2022;
- agree to be bound by the terms and conditions of the Trust Deed deed for the Colt Emerging Companies Fund, as amended from time to time;
- agree and consent to the terms outlined above in relation to the Privacy Act 1993 and the supply of personal information and FATCA and CRS related information;
- consent to Foster Capital NZ Limited providing any information relating to my/our CRS or FATCA status or CRS or FATCA matters to the New Zealand Inland Revenue Department, and agree to notify Foster Capital NZ Limited in writing immediately if there is any change which I/we become aware of which would render any of the above information incorrect, and to re-submit information to Foster Capital NZ Limited upon request;
- where applicable, confirm that those signing this application form are persons with authority to sign this form on behalf of the entity named;
- agree to update the information I have provided if my circumstances change;
- if I/we have provided my/our email address, or provide it in the future, consent to receiving electronic communications (including email) from Foster Capital NZ Limited relating to my/our investment in the Colt Emerging Companies Fund and as otherwise set out in the terms above in relation to the Privacy Act 1993;
- authorise Foster Capital NZ Limited to disclose information relating to me to the Financial Markets Authority as may be required from time to time under the Financial Markets Authority Act 2011 or any other law;
- certify that all information given in this form is true and correct;
- have completed either a wholesale investor or eligible investor certificate and provided this to Foster Capital NZ Limited.

I/We confirm that I/we consent, for the purposes of verifying my/our identity, to the personal information that I/we have provided being used with and, where necessary, disclosed to third parties.

Signature(s) of each individual applicant, director or trustee:

			DD	MM	YY
Name	Signature	Date	/	/	
Name	Signature	Date	/	/	
Name	Signature	Date	/	/	
Name	Signature	Date	/	/	