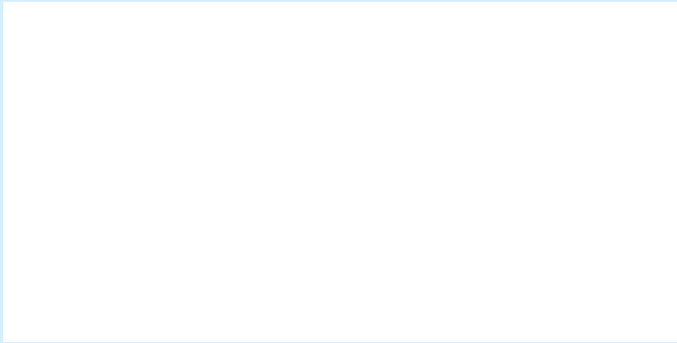


Farm Source Trading Account Application Trusts



Welcome to Farm Source trading

This form is needed if you want to trade Fonterra Co-operative Group Shares through Farm Source trading. Jarden Securities Limited (Jarden) has been appointed by Fonterra to operate the Farm Source trading service. You will need to complete all the form fields, in particular those marked as required, and sign at the end.

Before you start filling in this form

- Please follow these steps when applying for an account.



Read the guidance booklet that comes with this form



Fill in the incomplete fields, in particular noting the fields marked as required



Sign the completed form and obtain the supporting documents specified in the CDD Letter



Send the form to Jarden at farmsource@jarden.co.nz

1. Your trust's details

Please complete all sections below, in particular noting those fields labelled as required.

Account details


Party number: Required Field 

Trust name: Required Field 

Postal address: Required Field 

Address line 2:

Address line 3:

Postcode: Required Field  **Country:** Required Field 

Country of establishment: Required Field 

Check this box if your primary place of business is New Zealand

Contact details

Please enter contact details here in case we need to contact you about this application.

Contact name: Required Field 

Email address:

Landline phone: Required Field  **Mobile phone:**

Financial details

The bank account below needs to be in your trust's name or in the names of all trustees, but does not have to be the same account as used for Fonterra milk payments.

Bank account number:

Bank account name: Required field. The name of the account holder as recorded by the bank 

1. Your trust's details continued

Tax details

Your answers to the following questions will assist us to accurately and appropriately classify your trust's financial status. Therefore, it would be beneficial to seek assistance from your accountant or tax adviser as you work through each question.

Primary Activity Required Field !

IRD Number: Required Field !

Business Industry Classification (BIC) Code Required Field !

Your BIC can be found on your most recent tax return.

Question 1

Select your trust's PRIMARY source of funds

- Interest, dividends, coupons from investment in financial assets
- Rent from letting property
- Royalties from patents, copyrights etc
- Donations
- Dairying
- Service fees or commissions
- Sales proceeds from goods provided
- Other – please specify

Please provide a description and evidence of what has generated the total net worth of the trust and/or source of funds. See guide for examples

Required Field !

Question 2

Is your trust exempt from New Zealand Resident Withholding Tax? Yes No
[RWT exemption and applicable RWT rates are described on the IRD website.](#)

If No RWT Rate Required Field ! %

If Yes Please supply a copy of your Certificate of Exemption.

Effective Date of Exemption: Required Field !

Question 3

Is your trust a Financial Institution? To determine this, please answer the following questions.
[Financial Institutions are described on the IRD website.](#)

Does your trust hold cash-deposits for other parties? Yes No

Does your trust hold financial assets (aside from cash) for other parties?
[This may include dividends, interest, coupons, etc.](#) Yes No

Does your trust carry on a business of investing in financial assets?
[This may include investments undertaken for other parties as well as for your own trust.](#) Yes No

Is your trust, or its assets, managed by another Financial Institution?
[An institution manages your trust if it is responsible for making and executing investment decisions without prior approval from your management, or its board, or its trustees.](#) Yes No

Does your trust have a Financial Institution as a trustee?
[For example, a trustee company or a nominee company operated by a lawyer or accountant.](#) Yes No

Do you understand your trust to be a financial institution for reasons not queried above?
[For example, you have received specific advice to this effect from your accountant or tax adviser.](#) Yes No

If you have answered "No" to all of the questions above, proceed to Question 4a.

If you have answered "Yes" to any of the questions above, proceed to Question 3a.

1. Your trust's details continued

Question 3a

Does your financial institution have a Global Intermediary Identification Number (GIIN)? Yes No

GIIN may be obtained through a registration process with the IRS – please refer to the IRS website.
You can also refer to the “Registration Guidance Notes” on the IRD website.

If No Proceed to Question 3b

If Yes Please supply your Financial Institution's GIIN here:

After providing the details above, proceed to Section 2. Your Farms

Question 3b

Has another financial institution agreed to sponsor or document your financial institution? Yes No

If No Proceed to Question 4a

If Yes Financial Institution's name

Financial Institution's country of establishment

Financial Institution's GIIN (if available)

After providing the details above, proceed to Section 2. Your Farms

Question 4a

In your last financial year, did 50% or more of your trust's gross income come from investments that yield interest, dividends, coupons, rent or royalties? Yes No

For a new trust, you will need to estimate this based on the current financial year to date.

Question 4b

In your last financial year, were 50% or more of your trust's assets held for the production of interest, dividends, coupons, rent or royalties? Yes No

For a new trust, you will need to estimate this based on the current financial year to date.

If you have answered “No” to Question 4a *and* Question 4b, proceed to Section 2. Your Farms

If you have answered “Yes” to either Question 4a *or* Question 4b, proceed to Question 5 below.

Question 5

Are any of the parties associated with your trust (such as those identified later in this form) a resident or citizen in any other country outside of New Zealand (for associated individuals) or established outside of New Zealand (for associated entities)? Yes No

Please note: this also includes the Settlor(s) of your trust.

If No Proceed to Section 2. Your Farms

If Yes As part of this application, you must complete and provide a W-8-BEN-E for your trust.

Refer to the Farm Business section on nzfarmsource.co.nz

2. Your farms

Each farm has a Common Shareholder Number (CSN) allocated to it as the shareholding is linked to your farm, not just your party and is the only shareholding number that can be used to trade Fonterra Co-operative Group Shares for this farm and party combination. The CSN number is used by the brokers, the New Zealand Stock Exchange (NZX) and the share registries to track and record share transactions.

List here all the farms associated with your party at Fonterra. Only the farm number and CSN are required fields. If you are unsure of your farm number(s) or of the CSN allocated to your farm(s), please contact Fonterra Supplier Services.

Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		
Farm number:	<input type="text"/> Required field !	CSN:	<input type="text"/> Required field !
Farm name:	<input type="text"/>		
Farm address:	<input type="text"/>		

3. Your Trustees

Please include details of all trustees. If you need more space to add more trustees, please photocopy this page.
Please also ensure you complete Section 5 for all Beneficiaries.

Trustees

Name of Trustee: Required Field 

- Check this box if the Trustee is a Company, Partnership or another Trust.
You must obtain and complete the appropriate "Supplement" form for this Trustee.
- Check this box if the Trustee is an individual person.
You must then complete the tick boxes below and Section 6 – Related Individuals.
 - Check this box if the Trustee is the primary contact.
The primary contact will receive the internet trading website login.
 - Check this box if the Trustee is authorised to trade on behalf of the trust.
 - Check this box if the Trustee will receive contract notes by email.
 - Check this box if the Trustee is a beneficiary of the trust.

Name of Trustee: Required Field 

- Check this box if the Trustee is a Company, Partnership or another Trust.
You must obtain and complete the appropriate "Supplement" form for this Trustee.
- Check this box if the Trustee is an individual person.
You must then complete the tick boxes below and Section 6 – Related Individuals.
 - Check this box if the Trustee is the primary contact.
The primary contact will receive the internet trading website login.
 - Check this box if the Trustee is authorised to trade on behalf of the trust.
 - Check this box if the Trustee will receive contract notes by email.
 - Check this box if the Trustee is a beneficiary of the trust.

Name of Trustee: Required Field 

- Check this box if the Trustee is a Company, Partnership or another Trust.
You must obtain and complete the appropriate "Supplement" form for this Trustee.
- Check this box if the Trustee is an individual person.
You must then complete the tick boxes below and Section 6 – Related Individuals.
 - Check this box if the Trustee is the primary contact.
The primary contact will receive the internet trading website login.
 - Check this box if the Trustee is authorised to trade on behalf of the trust.
 - Check this box if the Trustee will receive contract notes by email.
 - Check this box if the Trustee is a beneficiary of the trust.

Name of Trustee: Required Field 

- Check this box if the Trustee is a Company, Partnership or another Trust.
You must obtain and complete the appropriate "Supplement" form for this Trustee.
- Check this box if the Trustee is an individual person.
You must then complete the tick boxes below and Section 6 – Related Individuals.
 - Check this box if the Trustee is the primary contact.
The primary contact will receive the internet trading website login.
 - Check this box if the Trustee is authorised to trade on behalf of the trust.
 - Check this box if the Trustee will receive contract notes by email.
 - Check this box if the Trustee is a beneficiary of the trust.

4. Settlor

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:

Address line 3:

Postcode: Country:

Email Address:

Landline phone: Mobile Phone:

Country of birth: Date of birth: Required for regulatory reasons 

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:

Address line 3:

Postcode: Country:

Email Address:

Landline phone: Mobile Phone:

Country of birth: Date of birth: Required for regulatory reasons 

5. Beneficiaries

For Beneficiaries who fall within a class/category of Beneficiaries, rather than being specifically named in the Trust Deed, please refer to the "Classes of Beneficiaries" section on the next page. For all Beneficiaries named in the Trust Deed, complete the following section. If you need more space to add more beneficiaries, please photocopy this page.

Named Beneficiaries

Name:

Required Field 

Check this box if the named Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz

Check this box if the named Beneficiary is an individual person.
You must provide their Date of Birth and complete the tick boxes below.

Date of birth

Is the Beneficiary a resident for tax purposes in any country outside of New Zealand? Yes No

Is the Beneficiary a citizen in any other country outside of New Zealand? Yes No

If the answer to either of the above is "yes", please refer to the Farm Business section on nzfarmsource.co.nz

Name:

Required Field 

Check this box If the named Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz

Check this box if the named Beneficiary is an individual person.
You must provide their Date of Birth and complete the tick boxes below.

Date of birth

Is the Beneficiary a resident for tax purposes in any country outside of New Zealand? Yes No

Is the Beneficiary a citizen of any other country outside of New Zealand? Yes No

If the answer to either of the above is "yes", please refer to the Farm Business section on nzfarmsource.co.nz

Name:

Required Field 

Check this box If the named Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz

Check this box if the named Beneficiary is an individual person.
You must provide their Date of Birth and complete the tick boxes below.

Date of birth

Is the Beneficiary a resident for tax purposes in any country outside of New Zealand? Yes No

Is the Beneficiary a citizen of any other country outside of New Zealand? Yes No

If the answer to either of the above is "yes", please refer to the Farm Business section on nzfarmsource.co.nz

Name:

Required Field 

Check this box If the named Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz

Check this box if the named Beneficiary is an individual person.
You must provide their Date of Birth and complete the tick boxes below.

Date of birth

Is the Beneficiary a resident for tax purposes in any country outside of New Zealand? Yes No

Is the Beneficiary a citizen in any other country outside of New Zealand? Yes No

If the answer to either of the above is "yes", please refer to the Farm Business section on nzfarmsource.co.nz

5. Beneficiaries continued

For all Beneficiaries classified in the Trust Deed, complete the following section. If you need more space to add more beneficiaries, please photocopy this page.

Examples of a Class/Type of Beneficiary are unborn grandchildren, a charity, a school, a church, etc.

Classes of Beneficiaries

Class/Type

Complete the Class/Type above and continue to Section 6 if the requirements below do not apply to the Beneficiary.

- Check this box if the Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz
- Check this box if any existing members of the Class/Type are a citizen or resident for tax purposes outside of New Zealand. If so please refer to the Farm Business section on nzfarmsource.co.nz

Class/Type

Complete the Class/Type above and continue to Section 6 if the requirements below do not apply to the Beneficiary.

- Check this box if the Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz
- Check this box if any existing members of the Class/Type are a citizen or resident for tax purposes outside of New Zealand. If so please refer to the Farm Business section on nzfarmsource.co.nz

Class/Type

Complete the Class/Type above and continue to Section 6 if the requirements below do not apply to the Beneficiary.

- Check this box if the Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz
- Check this box if any existing members of the Class/Type are a citizen or resident for tax purposes outside of New Zealand. If so please refer to the Farm Business section on nzfarmsource.co.nz

Class/Type

Complete the Class/Type above and continue to Section 6 if the requirements below do not apply to the Beneficiary.

- Check this box if the Beneficiary is a Company, Partnership or another Trust.
If the Entity has a Country of Establishment that is not New Zealand, refer to the Farm Business section on nzfarmsource.co.nz
- Check this box if any existing members of the Class/Type are a citizen or resident for tax purposes outside of New Zealand. If so please refer to the Farm Business section on nzfarmsource.co.nz

6. Related individuals

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:

Address line 3:

Postcode: Country:

Email Address:

Landline phone: Mobile Phone:

Country of birth: Date of birth: Required for regulatory reasons 

Are you a resident for tax purposes in any country outside of New Zealand? Yes No

Are you a citizen in any other country outside of New Zealand? Yes No

If you have ticked 'Yes' to either of the above, you need to supply additional information under the Foreign Account Tax Compliance Act (FATCA) and Automatic Exchange of Information (AEOI), otherwise known as CRS. Please refer to the Farm Business section on nzfarmsource.co.nz

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:

Address line 3:

Postcode: Country:

Email Address:

Landline phone: Mobile Phone:

Country of birth: Date of birth: Required for regulatory reasons 

Are you a resident for tax purposes in any country outside of New Zealand? Yes No

Are you a citizen in any other country outside of New Zealand? Yes No

If you have ticked 'Yes' to either of the above, you need to supply additional information under the Foreign Account Tax Compliance Act (FATCA) and Automatic Exchange of Information (AEOI), otherwise known as CRS. Please refer to the Farm Business section on nzfarmsource.co.nz

6. Related individuals continued

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address !

Address line 2:

Address line 3:

Postcode: **Country:**

Email Address:

Landline phone: **Mobile Phone:**

Country of birth: **Date of birth:** Required for regulatory reasons !

Are you a resident for tax purposes in any country outside of New Zealand? Yes No

Are you a citizen in any other country outside of New Zealand? Yes No

If you have ticked 'Yes' to either of the above, you need to supply additional information under the Foreign Account Tax Compliance Act (FATCA) and Automatic Exchange of Information (AEOI), otherwise known as CRS. Please refer to the Farm Business section on nzfarmsource.co.nz

Individual's Details

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address !

Address line 2:

Address line 3:

Postcode: **Country:**

Email Address:

Landline phone: **Mobile Phone:**

Country of birth: **Date of birth:** Required for regulatory reasons !

Are you a resident for tax purposes in any country outside of New Zealand? Yes No

Are you a citizen in any other country outside of New Zealand? Yes No

If you have ticked 'Yes' to either of the above, you need to supply additional information under the Foreign Account Tax Compliance Act (FATCA) and Automatic Exchange of Information (AEOI), otherwise known as CRS. Please refer to the Farm Business section on nzfarmsource.co.nz

7. Authorised representatives

An authorised representative is someone who you allow to trade on your behalf – this could be your lawyer or accountant. Representatives need to be an individual – you cannot specify an organisation or a company as a representative.

The representative will need to sign this form and their identification will need to be certified.

You can nominate multiple representatives. If you need more space to add representatives, please photocopy this page.

Check this box if you don't want to have a representative and go to **Section 8**

Authorised representative(s)

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:


Address line 3:


Postcode: **Country:**

Email address:

Landline phone: **Mobile phone:**

Country of birth: Required for regulatory reasons  **Date of birth:** Required for regulatory reasons 

Check this box if the representative will receive the website login for internet trading Only one person can receive the internet trading website login. Other nominated traders can trade by phone 

Check this box if the representative will receive contract notes by email Ensure you supply an email address if you tick this box 

Check this box if this representative is a beneficiary of the trust


Signature of Representative:

Date:

7. Authorised representatives continued

Authorised representative(s)

Name:

Residential address: This address is required and must be a residential address. It cannot be an office address 

Address line 2:


Address line 3:


Postcode: **Country:**

Email address:

Landline phone: **Mobile phone:**

Country of birth: Required for regulatory reasons  **Date of birth:** Required for regulatory reasons 

Check this box if the representative will receive the website login for internet trading Only one person can receive the internet trading website login. Other nominated traders can trade by phone 

Check this box if the representative will receive contract notes by email Ensure you supply an email address if you tick this box 

Check this box if this representative is a beneficiary of the trust

Signature of Representative:

Date:

8. Security questions

Security questions are required in order to authorise access to this account and will be asked when individuals contact us by phone. These questions and answers will need to be known by all people who are authorised to trade on this account.

Questions could be related to your farm, e.g. How many hectares do we have? or What year did we start supplying Fonterra?

Question 1:

Answer 1:

Question 2:

Answer 2:

Question 3:

Answer 3:

9. Document checklist

Please obtain the documentation as listed below and enclose with this application form. See the guidance booklet for more information.

- We enclose certified or verified proof of legal name and date of birth for all trustees who are specified in the CDD Letter and authorised representatives.
- We enclose certified or verified source of funds evidence (as described in Section 1, Question 1).
- We enclose certified or verified proof of residential address for all trustees who are specified in the CDD Letter and authorised representatives.
- We enclose a bank deposit slip or similar bank-generated proof of the Trust's bank account details
- We enclose a certified or verified copy of the Trust Deed

Please ensure you sign the form on the next page!

10. Signatures

I/We agree to be bound by the terms and conditions set out in this Application Form and the accompanying booklet 'Farm Source Trading Account - Terms and Conditions' (a copy of which I/we acknowledge I/we have received and read). I/We further agree that the 'Farm Source Trading Account - Terms and Conditions' may be amended by Jarden Securities Limited (Jarden) from time to time, and I/we agree to be bound by any such amendments.

I/We confirm that all the details set out in this Application Form are correct.

I/We agree that instructions may be given and Orders may be placed by me/us or an Authorised Representative by letter, telephone, facsimile, email or any other medium and in all cases Jarden is entitled to rely on such instructions and Orders and treat them as genuine (without further enquiry as to the identity or authority of the sender of the instructions or Orders) if the instructions or Orders appear to Jarden to have come from me/one of us or any Authorised Representative.

I/We agree that we are responsible for notifying Jarden of any changes to my/our contact details (including address, email address and mobile phone number) and for any consequences resulting from my/our failure to do so.

I/We authorise Jarden to implement all Orders on this account by placing them to the market in such a manner as Jarden considers appropriate having exercised this discretion with reasonable care. I/We accept that Jarden does not guarantee and gives no warranty that this will produce the best or any particular price. I/We acknowledge that Jarden may submit Orders in this manner unless I/we give Jarden instructions to the contrary either generally or in relation to a specific Order.

I/We authorise Jarden to retain an encrypted copy of my/our Faster Identification Number (FIN) which will be automatically populated into all sell Orders submitted into my/our account. I/We acknowledge that by permitting Jarden to retain my/our FIN, I/we are giving Jarden ability to transfer my/our security holdings to other persons.

Jarden will encrypt your FIN as soon as reasonably practicable and your FIN will only be used by Jarden in the implementation of your trading instructions or Orders and provision of services to you. Additionally, Jarden undertakes that it will at all times use reasonable endeavours to protect your FIN from unauthorised use or access.

Where your account is made up of more than one person, all such persons accept that they are jointly and severally liable for any instructions executed on your account and that Jarden is entitled to act upon the instructions of any one of those persons unless written, signed instructions from all such persons are provided to the contrary.

This Application Form may be signed in any number of counterparts all of which, when taken together, will constitute one and the same instrument.

I/We give Jarden Securities Limited (Jarden) authority to unconditionally and irrevocably accept instructions in relation to my/our funds deposited in the NZD Call Account. I/we also agree, and authorise, Jarden to:

- Pay for my/our securities purchases made through Jarden from my/our funds deposited in the NZD Call Account
- Deposit my/our funds in the NZD Call Account following my/our sale of securities through Jarden, in accordance with this Application Form and any specific instructions from me/us.

I/We authorise Jarden to disclose personal information and documentation provided in or with this form to Fonterra Co-operative Group Limited for the purposes of identify verification of the relevant person(s) for anti-money laundering compliance purposes.

All trustees must sign below. If you require continuation pages, please photocopy this page. The Signature(s) below must reasonably match your signature as per the identification that you have provided

Full name:

Signature:

Date:

Full name:

Signature:

Date:

Full name:

Signature:

Date:

Full name:

Signature:

Date:

