

## Certificate – Close Business Associate

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### **Financial Markets Conduct Act Declaration for an Investment**

I, \_\_\_\_\_ (**Investor**) make this certification in relation to an offer of financial products (**Offer**) by \_\_\_\_\_ (**Offeror**), and certify that I am a "close business associate" of the Offeror (as that term is defined in clause 4(2) of Schedule 1 of the Financial Markets Conduct Act 2013 (**Act**)) because I (*tick all that apply*):

- a. am a director or senior manager of the offeror or of a related body corporate of the Offeror;
- b. hold or control 5% or more of the voting products of the Offeror;
- c. am a related body corporate of the Offeror;
- d. hold or control 20% or more of the voting products of a related body corporate of the Offeror;
- e. am a partner of the offeror or of a director of the Offeror (under the Partnership Act 1908);
- f. am a spouse, civil union partner, or de facto partner of a person who is a close business associate of the Offeror under any of paragraphs (a) to (e) above, or (h) below;
- g. am a child, parent, brother, or sister of a person who is a close business associate of the Offeror under any of paragraphs (a) to (f) above, or (h) below (whether or not by a step relationship); or
- h. have a close professional or business relationship with the Offeror, or a director or senior manager of the Offeror, which allows me to:
  - i. assess the merits of the Offer; or
  - ii. obtain information from the Offeror or any other person involved in the Offer that will enable me to assess the merits of the Offer.

I understand the consequences of certifying myself to be a Close Business Associate as defined in the Act.

**Yes / No**

**Name:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

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**For Heartland Investments office use only:**

Approved by:

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Director of Heartland Investments Limited