

## Certificate – Relative

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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 "relative" 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 am (*tick all that apply*):

- a. the spouse, civil union partner, or de facto partner (**Spouse**) of a director of the Offeror (**Director**);
- b. the grandparent, parent, child, grandchild, brother, sister, nephew, niece, uncle, aunt, or first cousin of a Director or their Spouse, whether or not by a step relationship;
- c. a spouse, civil union partner, or de facto partner of a person who is a relative under paragraph (b) above;
- d. a trustee of a trust under which a Director, or a relative of a Director (under paragraphs (a) to (c) above), is a beneficiary who:
  - i. is presently entitled to a share of the trust estate or of the income of the trust estate; or
  - ii. is, individually or together with other beneficiaries, in a position to control the trustee;
- e. a trustee of a trust where:
  - i. the trust is a family trust within the meaning of section 173M(5) of the Tax Administration Act 1994; and
  - ii. a majority of the individuals who are beneficiaries under the trust are relatives of a Director (under paragraphs (a) to (c) above).

I understand the consequences of certifying myself to be a Relative as defined in the Act.

**Yes / No**

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

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

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

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**For Heartland Investments office use only:**

Approved by:

\_\_\_\_\_  
Director of Heartland Investments Limited