AIP INVESTOR PLUS VISA RE-CERTIFICATION

NEW ZEALAND INVEST

If you are an issuer of a Managed Investment Scheme ("**MIS**") (as defined in the Financial Markets Conduct Act 2013) that is listed on the Acceptable Managed Fund List maintained and published by Invest New Zealand ("**Invest NZ**") then you must, when requested by Invest NZ, complete the form below.

Invest NZ will request re-certification from the applicant listed on the initial application form, unless otherwise advised.

Please provide all dollar values in New Zealand dollars.

All capitalised terms not otherwise defined have the meaning provided in the Immigration New Zealand Operational Manual.

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Section One: Details of Managed Fund		
1.	**Original Application Number and name of MIS (the "Applicant"):**	
2.	**Legal name of your organisation:**	
3.	**Name of organisation (trading name):**	
4.	**Link to the organisation's details on the Companies Office website:**	
5.	**Registration number (e.g. NZBN):**	
6.	**Physical address of the head office of the fund manager:**	
7.	Please provide details of the person we can contact if we require more information. This person will receive all communications from Invest NZ in relation to this application:	
	Name: **Position title:**	
	Relationship to the organisation:	
	Email: **Mobile number:**	

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Section Two: Deployment status of Managed Fund

1. If the Applicant is a MIS, please provide the following:

Uncalled capital	$
Invested capital	$
Management and other fund fees and expenses	$
Cash held by fund (including all cash and investments in cash management products or similarly liquid securities)	$
Other (please specify)	$
Total capital committed to the fund	$
Total capital committed from AIP investors	$

2. Please provide details of all new investments not previously provided to Invest NZ:

No.	Name of Fund/Company	Date of Investment (month/year)	Sector of company	Region of company
1				
2				
3				
4				
5				

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Section Three: Managed Funds Re-certification – Declaration	

3.	**By signing this form you (on behalf of the Applicant identified in this form):**
	(a) declare that you have the authority to submit this form of behalf of the Applicant.
	(b) certify that the information given in the Applicant's original application, or supplied by you in support of your application, remains true and correct to the best of your knowledge.
	(c) certify that you are not aware of any other Material Information (as that term is defined in Invest NZ's mandatory disclosure requirements found here) that must be disclosed to Invest NZ.
	(d) certify that the Applicant remains a New Zealand resident entity and is appropriately registered.
	(e) certify that the Applicant holds funds on participants behalf in New Zealand and in New Zealand dollars.
	(f) certify that the Applicant does not invest in Financial Products as that term is defined in the Financial Markets Conducts Act 2013 that are quoted on any securities exchange or stock exchange.
	(g) certify that the Applicant invests wholly or substantially in New Zealand Entities as defined by Appendix 15 of the Immigration Instructions.
	(h) certify that the Applicant does not and will not invest in anything which may prejudice New Zealand's reputation. Examples of business activities which may prejudice New Zealand's reputation include (but are not limited to) those which:
	• relate to the manufacturing of tobacco or other nicotine-based products; relate to gambling, casinos and equivalent enterprises;
	• relate to adult entertainment;
	• relate to the manufacturing of weapons, including:
	  • military weapons;
	  • controversial weapons (cluster munitions, landmines, biological and chemical weapons, nuclear weapons and depleted uranium);
	  • civilian firearms;
	• involve the use of child labour, forced or compulsory labour, or other human right abuses;
	• promote any form of discrimination based on race, culture, gender, sexual orientation, or other prohibited grounds;
	• are illegal in the country in which the good or service is used or intended to be used; or
	• are likely to have a materially adverse impact on the climate or environment.
	(i) if the Applicant is a fund of funds, you confirm that each of the managed funds that the Applicant invests in (or will invest in) also meets the criteria set out in 3(d), (e), (f), (g) and (h) above.
	(j) you monitor and report on ESG compliance of the Applicant's investee entities.

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3.	(k) there is nothing further to disclose to Invest NZ in relation to: i. any prior or pending civil or criminal allegations or convictions that may bring your organisation or the Applicant or the directors, key personal or senior management of the Applicant or your organisation into disrepute or that if disclosed could damage the reputation of Invest NZ or the New Zealand Government by association. ii. none of the directors, key personal or senior management of the Applicant or your organisation are persons prohibited from being a director or promoter of, or concerned in the management of, an incorporated or unincorporated body under the Companies Act 1993, the Financial Markets Conduct Act 2013, or the Takeovers Act 1993. iii. none of the directors, key personal or senior management of the Applicant or your organisation are subject to a management banning order under the Financial Markets Conduct Act 2013 or the Takeovers Act 1993, or subject to an order under section 108 of the Credit Contracts and Consumer Finance Act 2003. (l) acknowledge that Invest NZ may suspend or remove the Applicant from the Acceptable Managed Fund List should you fail to complete these re-certification requirements when requested to do so, or if at any time Invest NZ reasonably believes that the Applicant no longer meets the Eligibility Criteria. (m) to the maximum extent permitted by law, indemnify Invest NZ (and its employees, agents and nominees) against any loss they suffer as a result of you providing incorrect or incomplete information. (n) confirm that you have read and agree to: a) Invest NZ's **Terms of Use and Engagement** and confirm that you are authorised to legally bind the Applicant to these terms. b) Invest NZ's **Privacy Policy** and acknowledge that any personal information provided will be collected and used for the purposes of assessing this re-certification. Information you provide to us may be disclosed to Immigration New Zealand for the purposes of administering the Active Investor Plus visa process in accordance with the Invest NZ Privacy Policy. You also agree that while disclosure of personal information in this form is voluntary, if you do not provide the information we ask for, we may not be able to accept your re-certification.

Full name:	
Position title:	
Signature:	
Date:	