

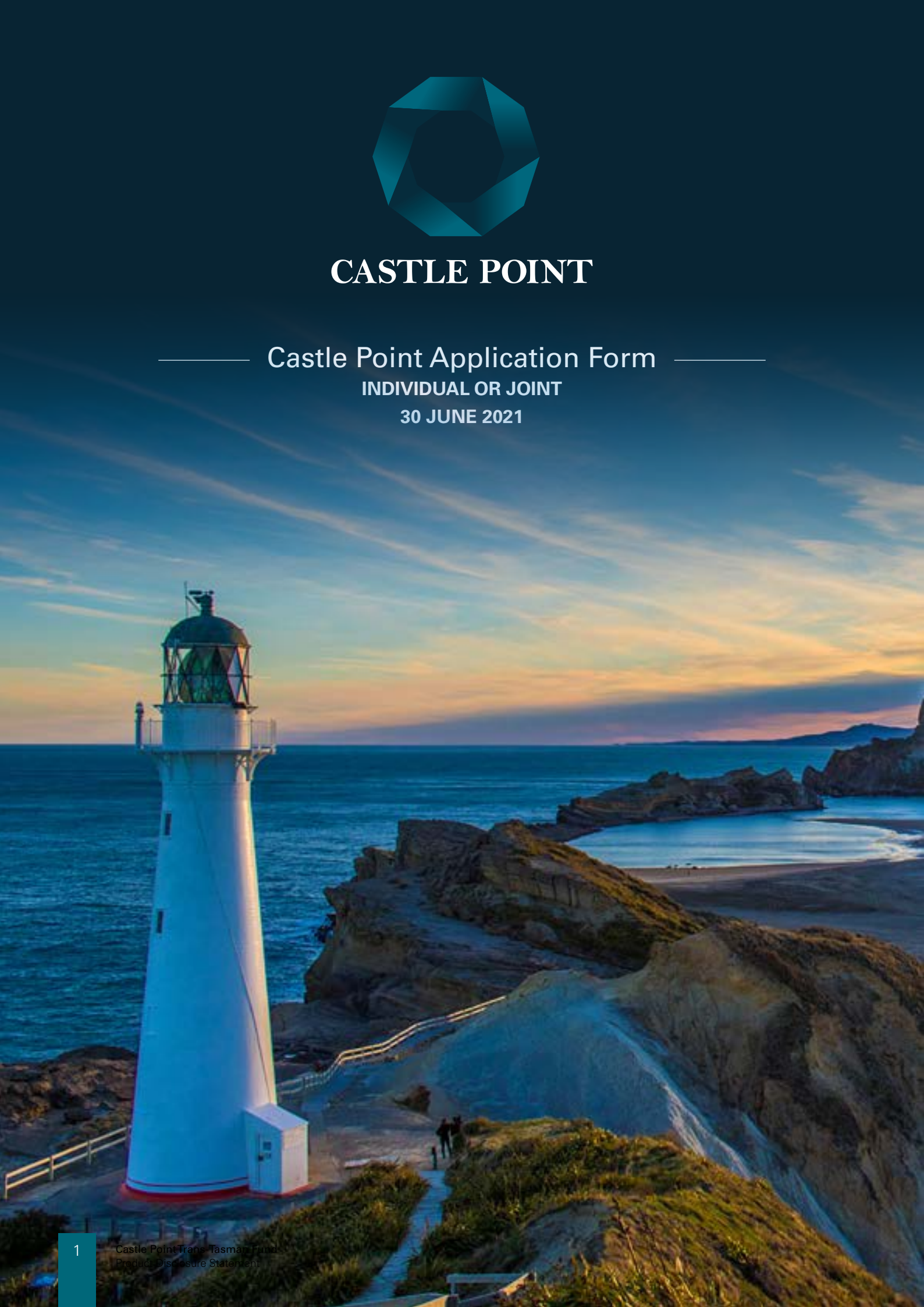


# CASTLE POINT

Castle Point Application Form

INDIVIDUAL OR JOINT

30 JUNE 2021



## How to apply

You can apply for an investment by following the key steps below:

- |                     |  |
|---------------------|--|
| <b>Read</b>         | 1. Read the Product Disclosure Statement(s) for the applicable Fund(s) carefully. These can be found at <a href="http://www.castlepointfunds.com/investor-documents">www.castlepointfunds.com/investor-documents</a>   |
| <b>Complete</b>     | 2. Complete this form if you are an individual or joint applicant. If you are investing via a Trust or a Company please download the applicable form from <a href="http://www.castlepointfunds.com/investor-documents">www.castlepointfunds.com/investor-documents</a>   |
| <b>ID</b>           | 3. Get required identification documents.  |
| <b>E-mail</b>       | 4. E-mail completed documentation to: <a href="mailto:info@castlepointfunds.com">info@castlepointfunds.com</a><br>If you are not able to e-mail your documentation to us, please call our team on 09 300 6060 for help, or you can e-mail us at <a href="mailto:info@castlepointfunds.com">info@castlepointfunds.com</a> . |
| <b>Investor No.</b> | 5. We will then contact you with an investor number.   |
| <b>Remit</b>        | 6. Once you have your investor number you can remit funds using the account details in Section 2 of the Application Form.  |

## Application Form

1. Please complete all sections of this Application Form.
  - a. Print using a ball point pen using capital letters.
  - b. Or type directly into the form.
  - c. If an item is not applicable, please leave the area blank.
  - d. If you make a mistake, please cross out the error and initial the change.
  - e. If additional space is required, please attach a separate sheet to the Application Form.

### Section 1 – Investor Details

2. For Joint Ownership applications please fill out both parts of Section 1 for each individual.
3. Please see Section 6 (What taxes will you pay?) of the Product Disclosure Statement for more details on which Prescribed Investor Rate is applicable to you

### Section 2 – Investment Details

4. Insert the principal amount of Units you wish to apply for in NZ\$. The initial application must be for a minimum of \$10,000. Subsequent investments are for a minimum of \$1,000.
5. Initial and subsequent payments can be made by direct credit as per the account details in Section 2 of the application form. Please ensure payments are referenced.
6. Regular investments can be setup through an automatic payment. Minimum investment amounts apply.
7. Distributions (for 5 Ocean and/or Trans-Tasman Fund(s)) can either be reinvested into additional units in the applicable Fund(s) or direct credited to a nominated bank account. Please elect your preference. If no election is made, the default is to reinvest distributions into additional units in the Fund.

### Section 3 – Bank details

8. Please supply a New Zealand bank account to be used for any future withdrawal(s).
9. For your protection, please provide one of the following (\*dated within last 12 months):
  - a. Bank statement\*
  - b. Bank deposit slip
  - c. Online bank summary page or transaction history\*
  - d. Deposit receipt, account summary or transaction receipt, stamped by the bank\*
  - e. Bank correspondence with the account name and account number\*

### Section 4 – Proof of your identity/Additional Information

10. To comply with the Anti-Money Laundering and Countering Finance of Terrorism Act 2009, and certain foreign tax requirements, we are required to verify your identity. We also must confirm your address and, in some circumstances, we may request verification of the source of your funds/wealth.
11. Please provide a copy of the New Zealand passport or driver's licence of each individual listed in Section 1.
12. We use this information to verify your identity and address electronically. On receipt of your application, we will advise you of any further documents we require from you and/or we may request for your ID document(s) to be certified.

### Section 5 – Declaration

13. Read this Application Form and the applicable Product Disclosure Statement(s) carefully and sign and date the form.
14. If your Application Form is signed by an attorney, the power of attorney document is not required to be lodged, but the attorney must complete a certificate of non-revocation of power of attorney which we can supply on request.

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### Help with Application Form

Please contact us on **+64 (0) 9 300 6060** or email us at **info@castlepointfunds.com** if you have any questions regarding filling in this Application Form.-

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### Section 3 – Bank details

Please enter your bank details below:

Account Name Bank

Account Number: Bank:                      Branch:                      Account:                      Suffix:

Please provide one of the following as proof of your bank details (\*dated within last 12 months):

<ul style="list-style-type: none"> <li>• Bank statement*</li> <li>• Bank deposit slip</li> <li>• Online bank summary page or transaction history*</li> <li>• Deposit receipt, account summary or transaction receipt stamped by the bank*</li> <li>• or Bank correspondence with the account name and account number*</li> </ul>	
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### Section 4 – Proof of your identity

For individuals/joint owners please include:

<ul style="list-style-type: none"> <li>• a copy of NZ passport or driver’s licence for each individual listed in Section 1</li> </ul>	
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We use a third party provider to verify ID document(s) and/or your address electronically. If this process fails or you do not have the above ID documents, we will contact you to obtain further ID documentation. We may also request for your ID document(s) to be certified.

### Section 5 – Declaration

By signing this Application Form, I/we acknowledge that we have been provided with the Product Disclosure Statement(s) dated as below, applicable to the Funds I/we are investing into, and that offers to purchase Units are subject to the terms and conditions set out in the Product Disclosure Statement(s) and this Application Form.

Fund	Date of current Product Disclosure Statement
Castle Point Ranger Fund	30 June 2021
Castle Point 5 Oceans Fund	30 June 2021
Castle Point Trans-Tasman Fund	30 June 2021

I/We further acknowledge that I/we have read and understood the applicable Product Disclosure Statement(s) which contains important information about investing in the Funds.

I/We confirm that Castle Point Funds Management has **not** provided me/us with advice in relation to my/our particular financial situation or goals.

I/We irrevocably apply for the principal amount of Units shown in Section 2 on the terms and conditions set out in the Product Disclosure Statement(s) and this Application Form.

I/We agree to notify you in writing immediately if there is any change which I/we become aware of which would cause the information contained in this Application Form to become incorrect or incomplete.

Name (Print)

Signature ..... Date

Name (Print)

Signature ..... Date

## Application Terms

This application constitutes an irrevocable offer by you to acquire the Units specified in this Application Form on the terms and conditions set out in the applicable Product Disclosure Statement(s) and this Application Form.

We reserve the right to decline any application in whole or in part, without giving any reason. Money received in respect of applications which are declined in whole or in part will be refunded in whole or in part (as the case may be).

If this Application Form is not completed correctly, or if the accompanying payment is for the wrong amount, it may be treated as invalid. Our decision as to whether to treat an application as valid, and how to construe, amend or complete it, shall be final.

Our decision on the number of Units to be allocated to an applicant shall also be final. No reasons will be given regarding the level of allocations. Applicants will not, however, be treated as having offered to purchase more than the dollar amount of Units indicated on the Application Form.

Application moneys will be banked upon receipt. Interest earned on that account will be paid to the applicable fund.

The information you provide is covered by the Privacy Act 2020. Your rights in relation to personal information are governed by the Privacy Act 2020.

When you invest in a Fund, and during the period of your investment, personal information relating to you may be required by us, Inland Revenue, Financial Markets Authority and the Supervisor. This information is needed for administering your investment and may be used and disclosed for the purposes of the Fund and to assist you with other financial services provided by us.

Castle Point will also use the information you provide to verify your identity in accordance with the requirements of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 and may disclose the information to an independent agency or entity for this purpose. You confirm that you give consent to Castle Point confirming your identity and/or address electronically.

During normal working hours you are entitled, free of charge, to see any personal information we hold about you. If you believe that any of the details are incorrect, you may ask for a correction to be made. If for any reason we are unable to make the correction requested, details of your request will be permanently attached to your personal information.

By signing this Application Form you agree to indemnify and keep us indemnified against all damages, costs, losses (including, without limitation, loss of profits) and expenses of any kind, whether direct or indirect, which arise from or in connection with your application for investment in Units in the Fund. This includes an indemnity covering any tax liability incurred on your account that cannot be recovered from the value of Units you hold in the Fund.

Expressions defined in the Product Disclosure Statement(s) have the same meanings in this Application Form. This Application Form is governed by New Zealand law.