

Punakaiki Fund Investment Process – Financial Intermediaries

If you are a financial intermediary, such as a financial advisor or wealth manager, and expect to be investing on your client's behalf via your nominee account, then you will need to follow the steps outlined below. We recommend that you complete Stage 1 of the investment process (account registration) set out below immediately in preparation for any potential future investment. Stage 2 of the process (investment) need only be completed when an investment is being made on behalf of your client(s).

If your business already has an active account with Catalist, you do not need to set up a new account, and you can skip to Stage 2 (investment).

If your client will hold the shares in their own name (rather than in you nominee account) then you do not need to set up your own Catalist account. You can help you client complete the Direct Investment process described above.

Stage 1 – Financial Intermediary Catalist Account Registration

1. Assuming the investments will be held in the name of a corporate entity (such as a custodian or nominee company), use the following link to set up a company investment account with [Catalist](#).
2. Create a Catalist account. To do this you will need your company name, primary contact name and email address, and you will also need to create a password for the account.

Catalist can configure your account so that it separately records each of the underlying investors (in addition to the legal owner of the shares), or you can record your total holdings in a single broker account.

Catalist can also open an account for your customer so they can view their holdings where the separate beneficial ownership is recorded in your account.

For further information on the account types available please contact Catalist at hello@catalist.co.nz.

3. Once you have created a Catalist account, you will be sent an email with a link to verify the provided email address. Once you have clicked this link, you will be sent to the Catalist verification success and login page.
4. Log in to your Catalist account and provide the requested information about your company, which will be registered as the legal owner of the Punakaiki Fund shares that you invest in. If you have any questions about this step, please email Catalist (hello@catalist.co.nz).
5. To avoid you client needing to re-complete their own AML identification process, please download this [managing intermediaries certificate](#), so Catalist can rely on the compliance checks undertaken by you in respect of your investor(s). Please complete the form and upload it to your Catalist account. You can securely upload documents to your Catalist account by logging in to your account, click on "My Account", select "Upload a file", and follow the prompts.

6. Once Catalist have confirmed that they are in receipt of all required information, your account will be activated, and you will then be able to make investments on behalf of your clients.

Once the nominee account has been onboarded, no further anti-money laundering or other checks are required by Catalist in respect of any client that you invest on behalf of in the future, although Catalist may need you to provide details about the relevant underlying customers, in particular their tax details, to ensure we can comply with our ongoing obligations.

Stage 2 – Investment

7. Following Catalist account creation (Stage 1) and completing Catalist’s regulatory checks (Stage 1), the Punakaiki Fund investment process can be started at Catalist’s [Punakaiki Fund offer page](#).
8. All documents that you need to review in respect of the offer, including the Information Memorandum, are located on the “Key documents” tab on the righthand side of this page under the “Product information” heading.
9. When you are ready to invest, click on the blue “Invest now” button in the large “Live: Open” box at the top of the page.
10. The investment form will prompt you to enter the number of shares that you wish to subscribe for (which will calculate the total cost of the investment), or an amount you want to invest. If your account is set up to record the beneficial ownership of your clients, you will be able to select which underlying client you are transacting on behalf of. Once you have entered this information, click “submit” to submit your application.
11. You will then be prompted to input a six-digit code. You will be sent this code by email. Input the code and click the verify button to confirm your order.
12. Catalist will email you the details needed to make the payment for your investment. Once payment has been made to Catalist’s trust banking account, Catalist will issue the new Punakaiki Fund shares, usually within 3 business days, and the investment process will be complete.
13. Once the Punakaiki Fund shares have been issued, you will be able to view the shareholding by logging into Catalist and clicking the dashboard button in the top right hand corner which will show all of the accounts holdings.