

Client Due Diligence & Identity Verification

New Zealand has passed a law called the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (“the AML/CFT Act” for short). From 1 July 2018 lawyers must comply with the AML/CFT Act which will require us to undertake certain background checks before providing services to our clients. We will need to obtain and verify certain information from you to meet these legal requirements.

In respect of Companies and Trusts, we are required to verify the identity of the beneficial owner of the Company or Trust. This may include the majority shareholder/s or the trustees of the Trust. With Trusts we are also required to establish the source of funds and wealth of the Trust. This would usually be satisfied by requesting a copy of the Trust’s financial statements from your accountant.

1. Identity documents including address verification

In order to verify your identity, we need you to provide proof of your identity and residential address from only one of the options below:

<p>Option 1</p> <p><input type="checkbox"/> Current Passport, or</p> <p><input type="checkbox"/> NZ Firearms Licence</p> <p>and residential address verification < 3 mths old</p> <p><input type="checkbox"/> Bank statement</p> <p><input type="checkbox"/> Utility bill</p> <p><input type="checkbox"/> Rates bill</p> <p><input type="checkbox"/> Car registration notification</p>	<p>Option 2</p> <p><input type="checkbox"/> Current NZ Driver Licence, or</p> <p><input type="checkbox"/> 18+ Card, or</p> <p><input type="checkbox"/> SuperGold Card (including photo ID)</p> <p>and one of the following</p> <p><input type="checkbox"/> Birth certificate, or</p> <p><input type="checkbox"/> Certificate of New Zealand Citizenship</p> <p>and residential address verification < 3 mths old</p> <p><input type="checkbox"/> Bank statement</p> <p><input type="checkbox"/> Utility Bill</p> <p><input type="checkbox"/> Rates bill</p> <p><input type="checkbox"/> Car registration notification</p>	<p>Option 3</p> <p><input type="checkbox"/> Current NZ Driver Licence</p> <p>and one of the following</p> <p><input type="checkbox"/> ATM (Eftpos), debit or Credit card issued by a NZ bank that includes your name & signature,</p> <p>or</p> <p><input type="checkbox"/> Bank statement < 12 mths old, or</p> <p><input type="checkbox"/> Government Agency Document containing the persons name and signature – SuperGold Card, or</p> <p><input type="checkbox"/> Government Agency document issued to a person < 12 mths old,</p> <p>and residential address verification < 3 mths old</p> <p><input type="checkbox"/> Bank statement</p> <p><input type="checkbox"/> Utility bill</p> <p><input type="checkbox"/> Rates bill</p> <p><input type="checkbox"/> Car registration notification</p>
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All forms of photographic ID listed above and used for ID verification must be currently valid. If the ID has expired it can still be used in conjunction with additional due diligence performed.

In the event that you are unable to provide any of the above information, please contact the office and we will arrange for alternative procedures.

2. Document certification

In the event that you are unable to bring original documents to our office in person (i.e. out of town) you are able to have copies of the original documents certified face to face by a Third Party Referee selected from the list below.

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|---|--|---|
| <input type="checkbox"/> Lawyers | <input type="checkbox"/> Accountants | <input type="checkbox"/> Justice of the Peace |
| <input type="checkbox"/> Notary Public | <input type="checkbox"/> Members of the Police | <input type="checkbox"/> Registered Medical Doctors |
| <input type="checkbox"/> Registered Teacher | <input type="checkbox"/> Minister of Religion | <input type="checkbox"/> Member of Parliament |

For **identity** verification the Third Party Referee must sight the original identification and make a statement to the effect –

“I hereby certify that this is a true copy of the original documentation for

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which I have sighted, and it represents a true likeness of the individual.”

Dated thisday of.....

Full Name:..... Occupation:.....

For **document** verification the Third Party Referee must sight the original document and make a statement to the effect –

“I hereby certify that this is a true copy of the

For

Dated thisday of.....

Full Name:..... Occupation:.....

The document certification must be carried out in the 3 months prior to the date of presentation of the documents. Documents can be scanned and emailed to McBride Davenport James. Original certified documents should then be forwarded by mail to McBride Davenport James, PO Box 19001, Wellington 6149.