



#### Certified Documents

The certifier must view the original document and compare it with a scanned or photocopied version, and provide a written statement that **'the documents provided are a true copy and represent the identity of the named individual'**.

The certifier's statement must include their name, occupation, signature and the date of certification. **This certification is only valid for three months.**

#### The certifier:

- must be at least 16 years old
- cannot be your spouse or partner
- cannot be related to you
- cannot live at the same address as you
- cannot be involved in the transaction or business requiring the certification

#### They must be a:

- New Zealand Police Constable
- Justice of the Peace
- Lawyer
- Notary Public
- NZ Chartered Accountant
- Member of Parliament

**Note that a CIP employee can verify documents for you if you bring in the originals.**

#### Identity Verification

Client identity verification documents held by Craigs Investment Partners must always be current, hence you may be asked to update your identity verification documents from time to time. Craigs Investment Partners may request to sight the original of any identity verification document that has been copied and used by you for identity verification purposes.

#### Photo ID

Photo ID provided must be of a quality to enable the person's identity to be verified.

#### Proof of bank account

Additional information and identification documents must be provided for all account holders where the bank account is in a name other than the name of the Craigs Investment Partners account.

#### Settlor

A document must be provided where a settlor is deceased e.g. Death Certificate.

[craigsip.com](http://craigsip.com)

NZX Firm

# Identification requirements for opening a Trust Account

To comply with our obligations under the Anti Money Laundering and Countering Financing of Terrorism Act (AML/CFT Act) we are required to collect information on the identity and address of our clients, including any authorised person, trustee, beneficial owner\* or attorney.

In order to open your account please complete a Client Agreement form and provide the below supporting documentation.

## TRUST DEED

- Please provide a certified / verified copy of the Trust Deed showing:
  - the name of the Trust
  - names of Trustees and Settlor
  - names of Beneficiaries or class / type of Beneficiaries
  - signatures of all Trustees



## IF ANY TRUSTEE IS A TRUSTEE COMPANY

Please provide:

- Certificate of Incorporation
- Companies office extract confirming details of Directors and Shareholders



## PROOF OF BANK ACCOUNT

Please provide one of the following:

- A bank encoded deposit slip with pre-printed details of the Trust's bank account name and number
- A bank statement (or printed online bank statement)
- A verification letter or other document confirming the Trust's bank account



## SOURCE OF FUNDS

You may be required to provide documentation to verify the source of funds for the Trust. For example inheritance verified by providing copy of Will, business income verified by providing financial statements.

## Identification requirements for each Trustee, Beneficial Owner, Authorised Person, Settlor, Protector and Advisory Trustee involved with this account.

Identification requirements are outlined on the reverse of this document.

**It is in your best interests to provide correctly completed and certified / verified documents to ensure we are able to trade on your account at the earliest possible time.**

Please do not hesitate to contact us if you have any queries.

\*see over page

**Who is a beneficial owner?**

- Any beneficiary that has a vested interest of more than 10% in the Trust property.
- Any individual (other than the Trustees) who has effective control over the Trust, specific Trust property, or with the power to amend the Trust's deeds, or remove or appoint Trustees.

# Identification requirements for Trustees, Attorneys, Beneficial Owners, Authorised Persons, Settlor, Protector and Advisory Trustee

**PROOF OF IDENTIFICATION**

For each individual please provide the **original** for verification or an **original certified copy** of one of the following options:

**Option 1**

- A current Passport; or
- A foreign National Identity Card; or
- A current New Zealand Firearms Licence

Firearms Licence: If you provide us with a certified copy of a Firearms Licence, please also provide a certified copy of a NZ Driver Licence or card issued by a registered bank showing your name and signature in order for us to verify your signature on your client agreement.



**Option 2**

- Current NZ Drivers Licence
- AND one of the following:**
- NZ Birth Certificate
- Certificate of NZ or Overseas Citizenship
- Credit / Debit card containing your name and signature
- Bank statement issued by a NZ bank in the last 12 months
- Statement issued to you by a Government agency in the last 12 months (e.g. IRD)
- SuperGold card



**PROOF OF RESIDENTIAL ADDRESS**

For each individual please provide the **original** for verification or an **original certified copy** of one of the following:

- Utilities bill issued in the last 3 months
- Rates bill issued in the last 3 months
- Bank statement issued in the last 3 months
- Government Agency statement (e.g. IRD Statement) issued in the last 12 months

