

Identity Verification Requirements

To comply with our obligations under the Anti-Money Laundering and Countering the Financing of Terrorism Act (AML/CFT Act) we are required to collect information on the identity and address of our clients, any person authorised to act on behalf of our client and any Beneficial Owner of our client, and to verify this information using relevant identification documents.

The collection and verification of information may vary depending on, amongst other things, client type, country of birth and country of residence. In some instances enhanced due diligence may be required in order to complete the account opening process and ensure our continued compliance with the AML/CFT Act. Identification documents provided must be current at the time of presentation i.e. not expired where an expiry date is applicable to the form of identification.

Certification

All identity documents must be certified by either a Justice of the Peace, a Lawyer, a Notary Public, a New Zealand Chartered Accountant, a New Zealand Police Constable or a Member of Parliament.

Certified documents must include the full name, occupation and an original signature of the certifier and the date of certification. Certification must have been carried out in the three months preceding presentation of the certified documents. The certifier must sign the original documents and make a statement that the documents provided are a true copy and represent the identity of the named individual.

Alternatively documents can be verified by your Craigs Investment Partners Adviser.

PROOF OF IDENTITY

For each Individual, Director, Trustee, Executor, Partner, Officer, Authorised Person, Attorney appointed under a Power of Attorney or Beneficial Owner please provide the following documents:

Option 1

A certified copy of ONE of the following:



- New Zealand or overseas passport containing your name, date of birth, photograph and signature
- 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.
- A national identity card issued by a foreign government, the United Nations or an agency of the United Nations containing your name, date of birth, photograph and signature.

OR

Option 2

(A New Zealand Driver Licence and a second document from the list below)

A certified copy of:



- New Zealand driver licence

AND a certified copy of one of the following:

- New Zealand full birth certificate
- Certificate of New Zealand or overseas citizenship
- A credit card, debit card or eftpos card issued by a New Zealand registered bank that contains your name and signature
- A bank statement issued by a New Zealand registered bank in the 12 months immediately preceding the date of the application
- A statement issued to you by a government agency in the 12 months immediately preceding the date of the application e.g. Inland Revenue
- SuperGold card.

For a Minor

if photo ID is not available



- Birth Certificate.

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 certification.

Identity of a Minor

Must be verified by providing photo ID (including proof of age), or if not available, by providing a certified copy of the minor's birth certificate.

PROOF OF RESIDENTIAL ADDRESS

A certified copy of one of the following issued within the last three months that includes your name and address:



- Utilities bill
 - Rates bill
 - Bank account statement
 - A statement issued to you by a government agency in the last 12 months immediately preceding the date of the application e.g. Inland Revenue.
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PROOF OF BANK ACCOUNT

Please provide a certified copy of ONE of the following:



- A bank encoded deposit slip with pre-printed details of your bank account name and number
 - A copy of a cheque for your bank account
 - A copy of a bank account statement
 - A verification letter or other document of confirmation provided by your bank
 - A printed version of your bank account details from your online banking.
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PLEASE PROVIDE A CERTIFIED COPY OF ONE OF THE FOLLOWING

For a Trust

Documents to verify the trust's structure and arrangements:



- Relevant extracts from the trust deed and subsequent deeds of appointment and amendment
- Verification of information on an appropriate register in the country of establishment

For a Company

Documents to verify the company structure, ownership structure and business of the company:



- Certificate of incorporation
- Details of directors
- Financial statements
- Details of shareholders
- Minutes of meetings and resolutions

For a Partnership

Documents to verify the partnership arrangement, ownership structure and purpose of the partnership:



- A Partnership Agreement or other formal agreement
- Certificate of registration
- Copies of trade registers
- Bank statements

For a Club or Society

Documents to verify the purpose of the club or society and the ownership structure:



- Objects of the club or society
- Constitution, charter or rules
- Type of individuals that benefit from the organisation
- Bank statements
- Meeting minutes or resolution