

ANTI-MONEY LAUNDERING PROCEDURE

2022

OUR ANTI-MONEY LAUNDERING (AML) PROCEDURE

From 1 July 2018 the Anti Money-Laundering and Countering Financing of Terrorism Act 2009 requires us to assess the risk we face from clients who may want to use our services to launder money or finance terrorism.

To help us assess that risk, the law requires us to collect and verify information from clients about a number of things including identity and proof of address information. The above legislation calls this “Customer Due Diligence (CDD)”.

Attached is a quick reference guide with a list of the documents required for identity and address verification. Our preference is for you to come to our office with those documents and we will photocopy them for our records. You need to bring your own passport unless one of our staff members already knows the other person whose passport you hold and can confirm that the photo on the passport shows the true likeness of that person.

If you cannot come to our office, then we require **CERTIFIED COPIES** to be sent to us. The persons who can give that certification are set out on the attached reference guide.

As an alternative for address verification, if you receive your invoice (as set out in the address verification guide) by email, then you may forward the whole email from the original source to us. So, for example, a Spark or Genesis email would be sent on to us without alteration and we would print the invoice which is attached to that email. This replaces the need for us to see the original invoice and photocopy it in our office.

In addition to the identity and address verification we also need to know the following:

1. Are you a New Zealand citizen?
2. Do you have citizenship of any other country (whether dual citizenship or otherwise)?
3. What is your occupation? Please note that if you are retired we need to know from what occupation you have retired.
4. If you are purchasing an asset, what is the source of the funds you will be providing for that purchase? Eg. Kiwisaver, bank loan, savings.

If our client is a Trust then we are required to ask further questions in regard to the Trust. We will deal with that on an individual basis.

ANTI-MONEY LAUNDERING REQUIREMENTS

QUICK REFERENCE GUIDE:

We need (1) PROOF OF IDENTITY and (2) PROOF OF ADDRESS documents.

PLEASE NOTE THE FOLLOWING:

- All documentation (**if not copied in our office**) **must be certified** by a solicitor, JP, Police Office, Notary Public or a Person who has legal authority to take Statutory Declarations.
- The documents need to have been certified **within the last 3 months** and the certifier must include their name, occupation, signature and date of certification.
- Certification of Identity must **include the statement:**
“This document represents the true likeness of[FULL Name]....”

(1) IDENTITY VERIFICATION

OPTION 1

one of:

- Signed NZ Passport
- Signed Foreign Passport and Permanent Resident’s Visa
- NZ Firearms Licence

OPTION 2

- NZ Driver Licence, and

+ one of (Statements less than 12 months’ old):

- Signed NZ Bank Credit/Debit/EFTPOS Card
- Bank Statement
- Signed SuperGold Card
- Statement issued by Central (not local) Government Agency

(2) ADDRESS VERIFICATION

one of (less than 12 months’ old):

- Bank Statement
- Utility Bill
- IRD/WINZ Statement
- Rates Notice

- Rental Tenancy Agreement
- Letter from Current Employer
- Car Registration Notification
- Court Document