



# Supplementary Information Form

NZ Funds as a financial institution is required by law to collect identity and address information on its customers.

This form is to be used for natural persons only. It should be used to supplement identity information previously provided in relation to an AML Form 1.

## 1 | Client details

Account name

Existing client

- Yes
- No

NZ Funds client number

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## 2 | Individual

Name

Title	First name	Middle name(s)	Surname

Residential address (not PO box)

Street		
Suburb	Town / city	Postcode

## 3 | Identity verification

### There are **three options** to complete identity verification:

There are three ways to complete identity verification. The options are:

- 1) Documentary identity verification - certified face-to-face by a Trusted Referee and verified by an Authorised Individual\* (complete following page); **or**
- 2) Documentary identity verification - verified face-to-face by an Authorised Individual\* (complete following page); **or**
- 3) Electronic identity verification - your financial adviser may conduct identity verification by electronic means. In such circumstances, documentary identity verification would not be required. Please ensure an Electronic Verification Certificate is provided to NZ Funds.

For 1) and 2) above, you must ensure the relevant documents are attached to this form.

Please complete the following documentary identity verification forms for all individuals named in this application and provide the appropriate documentation.

Note: document certification by a Trusted Referee must occur no earlier than three months prior to the date of presentation.

#### Exception handling procedures

Where an individual is unable to supply documents as required, please contact NZ Funds on 0508 733 337 or via email at [clientservices@nzfunds.co.nz](mailto:clientservices@nzfunds.co.nz).

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## 3A | Documentary identity verification

### Identity verification

To verify your identity, select **ONE** of the ID combinations and tick which document(s) you are providing below:

#### ID Combination 1

- Passport **OR**
- NZ firearms licence

#### ID Combination 2

- NZ driver licence
- And **ONE** of the documents listed below:
- Credit, debit or eftpos card  
(including name and signature)
- Bank statement
- Government agency document  
(e.g. IRD correspondence)

#### ID Combination 3

- NZ driver licence **OR**
- Kiwi Access Card
- And **ONE** of the documents listed below:
- Full birth certificate
- Citizenship certificate

### Residential address verification

To verify your residential address, select **ONE** of the options below. This document must be no more than six months old.

- Bank or financial institution statement
- Rates or house insurance document
- Utility document (e.g. electricity, gas, water, landline telephone or Sky TV)
- Government agency document (e.g. IRD correspondence)

Digital versions of utility and house insurance documents are acceptable if they show you to be responsible for a fixed non-movable service at the address (digital bank statements and Government agency documents are not acceptable for address verification but can be provided for identity verification.)

#### For persons under 18 years of age

- If the identity information options are unavailable, a birth certificate or student card is acceptable.
- If the residential address options are unavailable, proof of the parent(s) or guardian(s) address where the minor resides is acceptable.

## 3B | Certification by a Trusted Referee<sup>†</sup>

Name

Trusted Referee<sup>†</sup> type

I

- have sighted the original documents selected above, each of which represents the identity (i.e., name, date of birth and residential address) of the applicant; **and**
- have signed copies of those documents and attached these to this form; **and**
- confirm that the copies of those documents attached are true copies of the original documents of the applicant sighted by me today.

Signature of Trusted Referee<sup>†</sup>

Day - Month -Year

#### <sup>†</sup> A Trusted Referee must be:

- at least 16 years of age; **and**
- not related, spouse or partner, living at the same residential address or involved in the transaction or business; **and**
- from the following list of Trusted Referees -
  - Commonwealth representative
  - Chartered accountant
  - Notary public
  - Registered medical doctor
  - Member of Parliament
  - Justice of the Peace
  - Lawyer
  - Registered teacher
  - New Zealand Honorary Consul
  - A person who has legal authority to take statutory declarations

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## 3C | Verification completed by an authorised individual\*

(Note: this section is not to be completed by a Trusted Referee.)

Please tick one

- I have met the applicant face-to-face and have sighted the original documents selected above, each of which represents the identity (ie, name, date of birth, and residential address) of the applicant, in accordance with the Anti Money Laundering and Countering Financing of Terrorism Act 2009. Copies of the selected documents are attached to this form.
- I have verified the documents which have been certified by a Trusted Referee and have verified the identity information of the applicant, in accordance with the Anti Money Laundering and Countering Financing of Terrorism Act 2009.

### Signature

Name of authorised individual\*

Signature of authorised individual\*

Day - Month -Year

\* Authorised Individual refers to a person listed on the NZ Funds 'Register of Individuals Authorised to perform CDD'.