AML for an Individual
Supplementary information

Use this form to supplement identity information previously provided in relation to documentary identitiy verification.

NZ Funds is required by the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (AML / CFT Act) to collect identity and address information on its clients.

Return this form and original certified copies to New Zealand Funds Management Limited, Private Bag 92226, Victoria Street West, Auckland 1142, or by email to registry@nzfunds.co.nz.

1. Client details

Account name

Are you an existing client?

If Yes, enter in your NZ Funds client number.

Name

Title | First name | Middle name(s) | Surname

Residential address (not PO box)

Street

Suburb | Town / City | Postcode

2. Supplementary identity verification

Please tick your preferred identity verification method below.

☐ **Documentary identity verification face-to-face by your Financial Adviser or an NZ Funds employee***

Please complete section 2A and take your original documents along to your Financial Adviser or an NZ Funds office to complete section 2B.

☐ **Documents certified face-to-face by a Trusted Referee****

Please complete section 2A and take your original documents along to a Trusted Referee to certify your documents to complete section 2C.

* To complete verification, the adviser, employee or other authorised person must be listed on NZ Funds 'Register of Individuals Authorised to Perform CDD'.

** A **Trusted Referee** must be either a Justice of the Peace, a Lawyer, a Notary Public, a Chartered Accountant, a Registered medical doctor or a Registered teacher. A Trusted Referee cannot:

- Be your spouse or partner;
- Be related to you;
- Live at the same address as you; **or**
- Be involved in the transaction or business requiring certification.

Where documents are being certified outside of New Zealand, your Trusted Referee must be a person who is authorised to take Statutory Declarations under the laws of the country, state or territory where the documents are being certified.

2A. Documentary identity verification (face-to-face)

You will have already partially completed verification, but some of your documents were not correctly certified or verified. Please tick below to identify the additional documents needing to be certified or verified.

Identity verification

- ☐ NZ passport
- ☐ Foreign passport
- ☐ Citizenship certificate
- ☐ Full birth certificate
- ☐ NZ firearms licence
- ☐ NZ driver licence
- ☐ 18+ card / Kiwi access card

Residential address verification

- ☐ Bank or financial institution document
- ☐ Proof of the parent / guardian's address (where the minor resides)
- ☐ Government agency document (e.g. IRD correspondence)
- ☐ Utility document (e.g. electricity, gas, water, landline telephone or Sky TV)
- ☐ Rates or house insurance document

Important

Identity documents should be current. Address documents must be no more than six months old. Bank statements should include a logo, show the account number and show at least one transaction or the balance. See 'What is a bank statement?' information sheet.

If you are using a foreign passport for kiwisaver, we also require proof of NZ residency.

2B. Verification by your Financial Adviser or an NZ Funds employee

Financial Adviser / NZ Funds employee signature

I have met the applicant face-to-face and have seen the original documents selected, each of which represents the identity (i.e. name, date of birth and residential address) of the applicant, in accordance with the AML / CFT Act. Copies of the selected documents are attached to this form.

Name of Financial Adviser / NZ Funds employee

Signature of Financial Adviser / NZ Funds employee Day Month Year

Note: This section is not to be completed by a Trusted Referee.

2C. Certification by a Trusted Referee

Name

I, confirm that

- I have seen the original documents selected above, each of which represents the identity (i.e. name, date of birth and residential address) of the applicant.
- I have signed copies of those documents and attached these to this form.
- The copies of those documents attached are true copies of the original documents of the applicant seen by me today.
- I am a (tick **ONE** of the following):

- ☐ Justice of the Peace
- ☐ Notary Public
- ☐ Registered medical doctor
- ☐ Lawyer
- ☐ Chartered Accountant
- ☐ Registered teacher

Trusted Referee signature Day Month Year

Note: This section is to be completed if documents are not being verified face-to-face by your Financial Adviser or an NZ Funds employee.

Important

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

Please ensure certified copies of the original documents are attached to this form.

Where an individual is unable to supply documents as required, please contact NZ Funds on **0800 377 2277** or via email at **onboarding@nzfunds.co.nz.**