

AML Requirements

From 1 July 2018 Lawyers must comply with the Anti-money Laundering and Countering Financing of Terrorism Act 2009 (the “AML/CFT law” for short). Prior to us undertaking any work for you, we must verify information about our client’s and also clarify the nature and purpose of the work that we are being asked to do for them.

The following sets out what verified information we must hold on file for our clients:

INDIVIDUAL	COMPANY	TRUST
<ul style="list-style-type: none"> • Name • Date of birth • Address <p>This is required for all individuals who are party to the matter and any beneficial owners of a Company or trust.</p>	<ul style="list-style-type: none"> • Full legal name • Trading name if different • Principal business address or registered office • Company identifier or registration number • Jurisdiction of incorporation <p>We will also need to verify ID for the beneficial owners involved in the Company.</p> <p>Beneficial owners of a company include:</p> <ul style="list-style-type: none"> • Shareholders • Directors • Any other person with effective control such as the CEO 	<ul style="list-style-type: none"> • Full name of the Trust • Address of the trust • Source of wealth of the trust • Name and date of birth of any trust beneficiaries • Any additional information such as identifying a class of beneficiary for charitable trusts, as prescribed by regulations. <p>We will also need to verify the ID for any beneficial owners involved with the trust such as:</p> <ul style="list-style-type: none"> • Trustees • Beneficiaries over 18 • Any other individual who has effective control over the trust or with the power to amend the trust’s deeds or remove or appoint trustees <p>For these people/entities, we will need to know:</p> <ul style="list-style-type: none"> • Their full name • Date of birth • Address • Relationship to the trust • Any company identifier or registration number <p>When a professional entity is appointed, we will need to identify the individual(s) representing the corporate trustee or agent.</p>

IF YOU CANNOT PROVIDE THE REQUIRED INFORMATION

If we are not able to obtain the required information from you, it is likely we will not be able to act for you. Because the law applies to everyone, we need to ask for the information even if you have been a client of ours for a long time. Before we start working for you, we will let you know what information we need and what documents you need to show us and let us copy.

Please contact the lawyer who will be undertaking your work if you have any queries or concerns.

IDENTITY VERIFICATION REQUIREMENTS

So that we can meet our ID verification requirements for the information we require, we accept the following:

ID Verification for Individuals/Key People	ID Verification for Companies/Trusts	Address Verification
<p>Option 1: Passport <i>or</i> NZ Firearms Licence</p> <hr/> <p>Option 2: NZ Drivers Licence</p> <p>AND ANY ONE OF:</p> <ul style="list-style-type: none"> • Credit card (signed and name embossed) • Debit card (signed and name embossed) • Super Gold card • Bank statement • Government Agency Statement • NZ student ID with photo 	<ul style="list-style-type: none"> • Trust Deed • Any trust deed variations i.e. Add/Remove trustees • Relevant trust minutes • Companies Office <p>Verifying Source of Wealth/Source of Funds</p> <p>Source of Wealth</p> <ul style="list-style-type: none"> • Bank statements • Financial statements • Letter from your accountant • Copy payslips <p>Source of Funds</p> <ul style="list-style-type: none"> • Financial documents • Tax returns • Investment statements • Employment agreement • Copy sale and purchase agreement • Settlement statement from another solicitor • Gifting documents • Loan documents • Letter from Solicitor (external) • Copy Will/Probate 	<ul style="list-style-type: none"> • Bank statements or correspondence • Government Agency Statement or correspondence • Registered KiwiSaver/Superannuation Scheme correspondence • IRD Correspondence • Local authority rates or water bill • Utility bill <p>These must be under 3 months old.</p>
<p>Option 3: Birth Certificate <i>or</i> Citizenship Certificate (NZ or overseas)</p> <p>AND ANY ONE OF:</p> <ul style="list-style-type: none"> • NZ Drivers licence • Overseas drivers licence with photo* • 18+ card • NZ Armed forces ID • NZ Police ID • Super Gold Card • NZ Student ID <p>* must be original or certified original not copy or photo</p>		

Any ID/address verification documents provided must be:

- Original or a certified copy of the original
- Clear, legible, not damaged or mutilate and of a good likeness
- Valid
- Sighted in person by an MWIS authorized employee

If you send any documents to us via email or provide us with a copy of your verification document(s), we will need to verify them electronically with an external 3rd party verification system. There will be a small fee for this service.