

WHY WE NEED TO ASK FOR INFORMATION

New Zealand has passed a law called the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (we will call it the AML/CFT law). The purpose of the law reflects New Zealand's commitment to the international initiative to counter the impact that criminal activity has on people and economies within the global community.

Recent changes to the AML/CFT Act mean that from 1 July 2018, lawyers are required to comply with its requirements. This law requires lawyers to do a number of things to help combat money laundering and terrorist financing, and to help Police bring the criminals who do it to justice. The AML/CFT law does this because the services law firms and other professionals offer may be attractive to those involved in criminal activity.

The law says that law firms and other professionals must assess the risk they may face from the actions of money launderers and people who finance terrorism and to identify potentially suspicious activity.

To make that assessment lawyers must obtain and verify information from prospective and existing clients about a range of things. This is part of what the AML/CFT law calls "customer due diligence" ('CDD').

CUSTOMER DUE DILIGENCE REQUIREMENTS

CDD requires a law firm to undertake certain background checks before providing services to clients or customers. Lawyers must take reasonable steps to make sure the information they receive from clients is correct, and so they need to ask for documents that show this.

We will need to obtain and verify certain information from you to meet these legal requirements. This information includes:

- your full name; and
- your date of birth; and
- your address.

To confirm these details, documents such as your driver's licence or your birth certificate, and documents that show your address, such as a current bank statement will be required.

If you are seeing us about company or trust business, we will need information about the company or trust including the people associated with it (such as directors and shareholders, trustees and beneficiaries).

We may also need to ask you for further information. We will need to ask you about the nature and purpose of the proposed work you are asking us to do for you. Information confirming the source of funds for a transaction may also be necessary to meet the legal requirements.

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.

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 photocopy.

Please contact our office, if you have any queries or concerns.

Client Due Diligence & Identity Verification

New Zealand has passed a law called the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 ("the AML/CFT Act" for short). From 1 July 2018 lawyers must comply with the AML/CFT Act which will require us to undertake certain background checks before providing services to our clients. We will need to obtain and verify certain information from you to meet these legal requirements.

In respect of Companies and Trusts we are required to verify the identity of the beneficial owner of the Company or Trust. This may include the majority shareholder/s or the trustees of the Trust. With Trusts we are also required to establish the source of funds and wealth of the Trust. This would usually be satisfied by requesting a copy of the Trusts financial statements from your accountant.

Identity documents including address verification

In order to verify your identity we need you to provide proof of your identity and residential address from **only one** of the options below:

Option 1	Option 2	Option 3
<input type="checkbox"/> Current Passport, or <input type="checkbox"/> NZ Firearms Licence and residential address verification < 3 mths old <input type="checkbox"/> Bank statement <input type="checkbox"/> Utility bill <input type="checkbox"/> Rates bill <input type="checkbox"/> Car registration notification	<input type="checkbox"/> Current NZ Driver Licence, or <input type="checkbox"/> 18+ Card, or <input type="checkbox"/> SuperGold Card (including photo ID) and one of the following <input type="checkbox"/> Birth certificate, or <input type="checkbox"/> Certificate of New Zealand Citizenship and residential address verification < 3 mths old <input type="checkbox"/> Bank statement <input type="checkbox"/> Utility bill <input type="checkbox"/> Rates bill <input type="checkbox"/> Car registration notification	<input type="checkbox"/> Current NZ Driver Licence and one of the following <input type="checkbox"/> ATM (Eftpos), debit or Credit card issued by a NZ bank that includes your name & signature, or <input type="checkbox"/> Bank statement < 12 Months old, or <input type="checkbox"/> Government Agency Document containing the persons name and signature – SuperGold Card, or <input type="checkbox"/> Government Agency document issued to a person < 12 months old, and residential address verification < 3 mths old <input type="checkbox"/> Bank statement <input type="checkbox"/> Utility bill <input type="checkbox"/> Rates bill <input type="checkbox"/> Car registration notification

All forms of photographic ID listed above and used for ID verification must be currently valid. If the ID has expired it can still be used in conjunction with additional due diligence performed. Please bring the required ID documents to the office when we are scheduled to meet with you. Alternatively, you can bring them to our reception to have copies taken during office hours.

In the event that you are unable to provide any of the above information please contact the office and we will arrange for alternative procedures.

Document certification

In the event that you are unable to bring original documents to our office in person (i.e. out of town) you are able to have copies of the original documents certified face to face by a Third Party Referee selected from the list below.

- | | | |
|---|--|---|
| <input type="checkbox"/> Lawyers | <input type="checkbox"/> Accountants | <input type="checkbox"/> Justice of the Peace |
| <input type="checkbox"/> Notary Public | <input type="checkbox"/> Members of the Police | <input type="checkbox"/> Registered Medical Doctors |
| <input type="checkbox"/> Registered Teacher | <input type="checkbox"/> Minister of Religion | <input type="checkbox"/> Member of Parliament |

For **identity** verification the Third Party Referee must sight the original identification and make a statement to the effect –

"I hereby certify that this is a true copy of the original documentation for [insert name of identity] which I have sighted, and it represents a true likeness of the individual."

Dated thisday of.....
Full Name:.....Occupation:.....

For **document** verification the Third Party Referee must sight the original document and make a statement to the effect –

"I hereby certify that this is a true copy of the [insert document type] for [insert identity]"

Dated thisday of.....
Full Name:.....Occupation:.....

The document certification must be carried out in the 3 mths prior to the date of presentation of the documents.

Documents can be scanned and emailed to Mee & Henry Law.

Original certified documents should then be forwarded by mail to Mee & Henry Law Limited, PO Box 934, Invercargill 9840 NZ.