

Client Onboarding Form - Individual

As a reporting entity under the *Anti-Money Laundering and Countering Financing of Terrorism Act 2009*, MinterEllisonRuddWatts has obligations to conduct customer due diligence (CDD) on its clients.

This form will assist you to provide the information we need to obtain as part of our client on-boarding process.

This form should be completed if you are MinterEllisonRuddWatts' client, or if you are a beneficial owner, or are acting on behalf, of, MinterEllisonRuddWatts' client.

Information required	Answer
Full name	
Date of birth	
Residential address (not required if you are acting on behalf of a simplified CDD entity listed in Schedule 1)	
Relationship to MERW's client (e.g., I am the client, director, shareholder, employee, agent) <small>(If you are a shareholder and are acting in a trustee capacity, please provide a copy of the relevant trust deed)</small>	

You will need to provide evidence of the information provided in this form. The evidence we can accept is set out in Schedule 2. You can provide this in person by visiting one of our offices, or you can provide PDF scans of certified copies of the original documentation. If you are providing PDF scans, and the underlying document is something other than a New Zealand or Australian passport or a New Zealand driver licence, please send us the original certification.

Information provided through this form will be held by MinterEllisonRuddWatts in accordance with our Privacy Policy, available on our [website](#). The ID documents you provide may also be submitted to either the relevant New Zealand Governmental Agency, or to the Australian Government's Document Verification Service, for verification. **Please tick here to acknowledge that you have read, and agree to, our Privacy Policy, and to the verification of your ID documents.**

If you have any questions about this form, or the information required, please contact one of the team at MinterEllisonRuddWatts, or our AML/CFT Compliance Officer by email at aml.compliance@minterellison.co.nz.

Signature

Date

Schedule 1 – Simplified CDD Entities

The following are the entities eligible for simplified CDD:

- A listed issuer (within the meaning of section 6(1) of the *Financial Markets Conduct Act 2013*) that is the issuer of quoted voting products (within the meaning of that Act)
- A government department named in Schedule 1 of the *State Sector Act 1988*
- A local authority, as defined in section 5(2) of the *Local Government Act 2002*
- The New Zealand Police;
- A State enterprise (within the meaning of section 2 of the *State-Owned Enterprises Act 1986*) and a new State enterprise (as listed in Schedule 2 of that Act)
- A body that:
 - corresponds to a State enterprise or a new State enterprise (as defined in paragraph (e)); and
 - is located in a country that has sufficient AML/CFT systems
- A person licensed to be a supervisor or statutory supervisor under the *Financial Markets Supervisors Act 2011*, when the person acts for itself
- A trustee corporation, within the meaning of section 2(1) of the *Administration Act 1969*, when the trustee corporation acts for itself
- A Crown entity, as defined in section 7(1) of the *Crown Entities Act 2004*
- An organisation named in Schedule 4 of the *Public Finance Act 1989*
- A company named in Schedule 4A of the *Public Finance Act 1989*
- A government body that:
 - corresponds to a government department named in Schedule 1 of the *State Sector Act 1988*; and
 - is located in an overseas jurisdiction that has sufficient AML/CFT systems
- A registered bank within the meaning of section 2(1) of the *Reserve Bank of New Zealand Act 1989*
- A licensed insurer within the meaning of section 6(1) of the *Insurance (Prudential Supervision) Act 2010*
- A company, or a subsidiary (within the meaning of section 5(1) of the *Companies Act 1993*) of that company:
 - whose equity securities are listed in New Zealand or on an overseas stock exchange that has sufficient disclosure requirements; and
 - that is located in a country that has sufficient AML/CFT systems in place

Schedule 2 – Client Identification Requirements

Identity verification documents

1. The documentation we can accept to verify an individual’s identity is:

Option A	Option B
One of: <ul style="list-style-type: none"> • a New Zealand passport; • a New Zealand driver licence; • a New Zealand firearms licence; or • an overseas passport. 	One of: <ul style="list-style-type: none"> • a New Zealand full birth certificate; • a certificate of New Zealand citizenship; • a citizenship certificate issued by a foreign government; or • a birth certificate issued by a foreign government, the United Nations or an agency of the United Nations.
	AND
	An 18+ card.

Address verification documents

2. The documentation (which must not be more than six months old) that we can accept to verify an individual’s address is:

Address verification documentation	
One of: <ul style="list-style-type: none"> • utility bill; • rates bill; • bank account statement; • government or government department document; • local council notification/demand; • court document; • rental tenancy agreement; • Companies Office records; • IRD tax notice/certificate; • car registration notification/demand; • non-bank financial institution statement; 	<ul style="list-style-type: none"> • electronic yellow pages; • electronic white pages; • electoral roll papers; • insurance policy document; • educational institution letter (must be on letterhead paper and signed by person in authority confirming residential address); • employer provided accommodation letter; • host letter; • short-term accommodation letter; or • student accommodation letter.

Certification requirements

3. A certified copy of any ID or address verification document must have been certified in the last three months by a trusted referee and must contain a statement that the documents provided are a true copy and (if they are ID documents) represent the identity of the named individual. The trusted referee must specify their capacity to act as a trusted referee as well as include their name, signature and the date of certification.

Trusted referee requirements	
<p>A trusted referee is any one of:</p> <ul style="list-style-type: none"> • member of the police; • justice of the peace; • registered medical doctor; • Kaumatua; • registered teacher; • minister of religion; • lawyer; • notary public; • New Zealand honorary consul; • member of parliament; or • chartered accountant. <p>Where certification is conducted overseas, the trusted referee must be someone authorised to take statutory declarations (or the equivalent) in the relevant country. See our Client CDD Guide for the specific certification requirements in different countries.</p>	<p>A trusted referee must not be:</p> <ul style="list-style-type: none"> • related to the individual; for example, a trusted referee cannot be their spouse or partner, parent, child, brother, sister, aunt, uncle or cousin; • a person who lives at the same address as the individual; or • a person involved in the transaction or business requiring the certification.

When arranging for certified ID documents to be provided to us, please ensure that the trusted referee uses the following certification:

I certify that this is a true and correct copy of the original document that I have sighted and that the document represents the identity of the named individual.

Signature of signatory

Name of signatory

Position/qualification of signatory

Date

When arranging for certified address verification documents to be provided to us, please ensure that the trusted referee uses the following certification:

I certify that this is a true and correct copy of the original document that I have sighted.

Signature of signatory

Name of signatory

Position/qualification of signatory

Date