

# Client Onboarding Form - Organisation

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

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

## Guide to completing this form

If you are completing this form on behalf of:

- a company, please complete Part A and Part B;
- a club or society, please complete Part A and Part C;
- a partnership, please complete Part A and Part D;
- a trust, please complete Part A, Part E and Part G; or
- any other entity type, please complete Part A and Part F.

This form should be completed in respect of MinterEllisonRuddWatts' client. Where indicated in this form, individuals identified in this form will need to complete a Client Onboarding Form - Individual.

## Certification

I confirm that the information provided in this form is complete and accurate as at the date of this confirmation.

\_\_\_\_\_

Signature

\_\_\_\_\_

Name

\_\_\_\_\_

Date

# Information required

## PART A – General questions

Information required	Answer
Full legal name	
Trading name (if applicable)	
Registration or incorporation number (if applicable)	
Jurisdiction of incorporation or establishment	
Registered office address	
Principal business address (if different)	
Name of each person acting on behalf of the client (i.e., primarily instructing MERW)  (Each person will need to complete a Client Onboarding Form – Individual)	

Is the client a vehicle for holding personal assets?	Yes <input data-bbox="635 165 730 255" type="checkbox"/> Please complete Part G	No <input data-bbox="1093 165 1189 255" type="checkbox"/>
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Name of any individual(s) on whose behalf the client is instructing MERW  (Each person will need to complete a Client Onboarding Form – Individual)	 <hr/> <hr/> <hr/>
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**PART B – Questions for companies**

Information required	Answer	
Does the company have any nominee shareholders or shares in bearer form?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Please complete Part G

<p>Name of each of the client's beneficial owners, which will include:</p> <ul style="list-style-type: none"> <li>each person who can control the client and/or appoint people in senior management (for example, each director)</li> <li>the CEO, CFO and COO (if applicable)</li> <li>each individual owning or controlling (directly or indirectly) more than 25% of the client's shares or voting rights</li> </ul> <p>(Each person will need to complete a Client Onboarding Form – Individual)</p>	

**PART C – Questions for clubs and societies**

Information required	Answer
Club or society’s legal status and purpose	
<p>Name of each of the client’s beneficial owners, which will include:</p> <ul style="list-style-type: none"> <li>• each person who can control the client and/or appoint people in senior management (for example, the president, treasurer and secretary)</li> <li>• the CEO, CFO and COO (if applicable)</li> <li>• each individual having a right to (directly or indirectly) more than 25% of the client</li> </ul> <p>(Each person will need to complete a Client Onboarding Form – Individual)</p>	

**PART D – Questions for partnerships**

Information required	Answer
Name of each of the client's beneficial owners, which will include:	
<ul style="list-style-type: none"> <li>• the CEO, CFO and COO (if applicable)</li> </ul>	
<ul style="list-style-type: none"> <li>• for an ordinary partnership, each partner</li> </ul>	
<ul style="list-style-type: none"> <li>• for a limited partnership:</li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• each general partner</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• any individual holding (directly or indirectly) more than 25% of the partnership interests in the limited partnership</li> </ul> </li> </ul>	
(Each person will need to complete a Client Onboarding Form – Individual)	

If a general partner is a company, please complete a Client Onboarding Form – Organisation in respect of that company.

**PART E – Questions for trusts**

Information required	Answer
<p>Name of each of the client's beneficial owners, which will include:</p> <ul style="list-style-type: none"> <li>• each trustee (or, if the trust is an estate, each executor/administrator)</li> <li>• the CEO, CFO and COO (if applicable)</li> <li>• any individual having a right to (directly or indirectly) more than 25% of the beneficial interests in the trust</li> </ul> <p>(Each person will need to complete a Client Onboarding Form – Individual)</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>If the trust is:</p> <ul style="list-style-type: none"> <li>• is a discretionary trust; or</li> <li>• has more than 10 beneficiaries,</li> </ul> <p>describe the class or type of each beneficiary</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>If the trust is a charitable trust, describe the objects of the trust</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

If the trust is any other type of trust, provide the name and date of birth of each beneficiary


If a trustee is a company, please complete a Client Onboarding Form – Organisation in respect of that company.

For each trust, please complete Part G.



**PART F – Questions for other entity types**

Information required	Answer
Name of each of the client's beneficial owners, which will include:	
<ul style="list-style-type: none"> <li>each person who can control the client and/or appoint people in senior management</li> </ul>	
<ul style="list-style-type: none"> <li>the CEO, CFO and COO (if applicable)</li> </ul>	
<ul style="list-style-type: none"> <li>each individual owning or controlling (directly or indirectly) more than 25% of the client</li> </ul>	
(Each person will need to complete a Client Onboarding Form – Individual)	

**PART G – Source of wealth or funds**

Information required	Answer
Please provide details of the client’s source of wealth (i.e., the overall body of assets) or the source of funds (i.e., the funds being used in the transaction on which MERW is being instructed)	

You will need to documentation supporting the information provided in this form. The documentation required is set out in Schedule 1. Where Part G has been completed, you will need to provide evidence of the source of wealth or funds. Examples are set out in Schedule 2.

Information provided through this form will be held by MinterEllisonRuddWatts in accordance with our Privacy Policy, available on our [website](#). By providing this form to us, you acknowledge that you have read, and agree to, our Privacy Policy.

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](mailto:aml.compliance@minterellison.co.nz).

## Schedule 1 – Supporting Documentation

The supporting documentation we require for each client type is:

### **Company**

- Certificate of incorporation or articles of association
- Company structure chart
- Constitution and any relevant shareholders' agreement
- For each beneficial owner and each person acting on behalf of the company, a Client Onboarding Form - Individual

### **Club or society**

- Rules or articles of incorporation
- For each beneficial owner and each person acting on behalf of the club or society, a Client Onboarding Form - Individual

### **Partnership or limited partnership**

- Partnership agreement
- For each beneficial owner and each person acting on behalf of the partnership, a Client Onboarding Form - Individual

### **Trust**

- Trust deed
- For each beneficial owner and each person acting on behalf of the trust, a Client Onboarding Form - Individual

### **Other entities**

- Constituent documents
- For each beneficial owner and each person acting on behalf of the entity, a Client Onboarding Form - Individual

## Schedule 2 – Source of Wealth or Funds Documentation

Below are examples of what could be used to prove source of wealth and funds.

- Income from employment (i.e., wages, bonus) – either:
  - an original or certified copy of a recent pay slip
  - bank statements showing the last three salary/wage payments
  - written confirmation of annual salary signed by employer
  
- Income from business activities – either:
  - audited financial statements
  - a letter from a lawyer or accountant confirming income
  
- Rental income – proof of ownership of the property, and either:
  - tenancy agreement
  - bank statements showing the last three months' rental payments
  
- Intra-group financing – audited financial statements
  
- Property sale, either:
  - sale and purchase agreement
  - written confirmation of sale signed by professional adviser
  
- Sale of investments, either:
  - original or certified copy of contract note(s)
  - written confirmation of sale/holding signed by professional adviser
  
- Company or business sale, either:
  - original or certified copy of contract of sale
  - written confirmation of sale signed by solicitor or accountant
  
- Capital contribution, either:
  - constituent documents
  - resolutions