

Identification Requirements

Standard Client Due Diligence



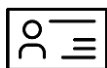
Where law meets life.

Individual

How it works

Before Govett Quilliam can act for you, by law¹, we have to properly identify and collect information about you. We collect this in two main steps.

Verification of Identification



Verification of Residential Address



Please note that where there are **agents** acting or where the individual is a **Politically Exposed Person (PEP)** or a **sole trader**, or if your identification documents are issued by a country other than New Zealand, Australia, The United Kingdom, Canada, France, Germany or the United States of America, additional information will be required. Please see below.

Documents must be **originals or certified copies**. Please contact us for further information.

Documentation in a foreign language must be accompanied by an independent and certified English translation provided to you by a professional translator.

1. Identification

At least **one form of identification needs to contain a photo**. Choose from one of the following three options:

| | Primary Identification Document | Secondary Identification Document |
|----------|---|---|
| Option 1 | One of the following: <ul style="list-style-type: none">New Zealand PassportNew Zealand Certificate of IdentityNew Zealand Refugee Travel DocumentEmergency Travel DocumentNew Zealand Firearms LicenceOverseas Passport*National Identity card* | <ul style="list-style-type: none">Not required |
| Option 2 | One of the following: <ul style="list-style-type: none">New Zealand Full Birth CertificateCitizenship CertificateOverseas Birth Certificate* | One of the following which must contain a photo: <ul style="list-style-type: none">New Zealand Driver Licence18+ CardInternational Driving PermitNew Zealand Armed Forces IDNew Zealand Police IDSuperGold Card with name and signatureStudent ID (from a New Zealand Institution) |
| Option 3 | <ul style="list-style-type: none">New Zealand Driver Licence | One of the following: <ul style="list-style-type: none">Credit Card, Debit Card or Eftpos Card with name and signatureSuperGold Card with name and signatureBank statement issued in the last 12 months*Government agency statement issued in the last 12 months |

* There are further restrictions on these documents – please contact us for more information

2. Proof of Residential Address

Choose from one of the following two options:

| | Acceptable Documents | Notes |
|----------|--|--|
| Option A | One of the following: <ul style="list-style-type: none">Bank statements or correspondenceGovernment agency statement or correspondenceRegistered KiwiSaver or superannuation scheme correspondenceIRD correspondenceCurrent insurance policy | These documents should be no more than 12 months old. They must show your current residential address. We can accept digital versions if the email from the issuing authority enclosing the documents is forwarded to us. |
| Option B | One of the following: <ul style="list-style-type: none">Local authority rates or water billUtility bill (gas, power, fixed phone line, internet, SKYTV)Correspondence from a New Zealand educational institution that reports under the Ministry of Education in New ZealandTenancy or lease agreement signed by both the tenant(s) and landlord | These documents should be no more than 3 months old. Digital copies of utility statements and insurance policies are acceptable, provided the statements show you are taking responsibility for a fixed (non-moveable) service or fixed asset at the same address the statement would otherwise have been posted to. |

3. Additional Information

Verification of Agents:

If you have a person acting on your behalf as an agent, we will need to verify their name(s), title (role) and a copy of their authorisation to act.

Verification of Politically Exposed Persons (PEPs):

If any individual is identified as a PEP, we will complete enhanced due diligence and take steps to verify the individual's identity and address, as well as their source of funds and source of wealth. Please contact us for further information.

Sole Traders:

We will require the address of the principal place of business and any registration number issued to sole traders.

¹The Anti-Money Laundering and Countering Financing of Terrorism Act 2009.

Identification Requirements

Standard Client Due Diligence



Where law meets life.

If your identification documents are issued by a country other than New Zealand, Australia, The United Kingdom, Canada, France, Germany or the United States of America, we may need to ask you for additional information about your income or assets.

Where the client is **unable to provide appropriate documentation** to verify their identity, at the discretion of the AML/CFT Officer, we will accept a statutory declaration confirming the client's identity from one of the following: Police Constable, Justice of the Peace, Registered Medical Doctor, Minister of Religion, Lawyer, Notary Public, Chartered Accountant. The declarant must confirm they have known the client for at least 2 years. The declarant will also be subject to verification of identity and address checks, as above.