



# AML/CFT LEGISLATION



## (Anti-Money Laundering and Countering Financing of Terrorism Act 2009)

Compliance with the Act, which came into force in New Zealand on 30th June 2013, is compulsory for all Investment Managers (including Banks), and is overseen by the Government. This short series of questions is designed to assist us with our compliance obligations. More information about the Act can be found at <http://www.legislation.govt.nz/act/public/2009/0035/latest/DLM2140720.html>

Name of Company \_\_\_\_\_

Purpose of Account  Savings  Investment  Retirement income  Other (please specify) \_\_\_\_\_

Assets (Values below are to include the total value of ALL assets held by the investment entity regardless of what is intended to be invested with SCP) \_\_\_\_\_

Approx. value of all property \$ \_\_\_\_\_

Approx. value of all investments/cash \$ \_\_\_\_\_

Approx. value of all other assets \$ \_\_\_\_\_

How has the company mainly acquired these assets? \_\_\_\_\_

Property

Investments/cash

Other assets

Specifically in respect to the funds that the company is proposing to invest through Southern Cross Partners, where have those funds been derived from, and where are they presently? \_\_\_\_\_

Where did you hear about us? \_\_\_\_\_

Has the company ever participated in this type of investment in the past?  Yes  No

I/We confirm the nature of the relationship between the Investor and Southern Cross Partners is that of 'Investor' and 'Loan and Investment Manager'

## ELECTRONIC VERIFICATION

Southern Cross Partners may choose to confirm your identity via electronic means. We have your permission to complete verification in relation to your identity and personal information, by whatever manner is most appropriate to our satisfaction. We have your permission to complete verification in relation to your identity and personal information to our satisfaction.

Yes, I request Southern Cross Partners send me a text message to electronically verify my identity and address (note, not all customers will be able to use electronic verification, we will contact you if we need any more information).

## DOCUMENTS REQUIRED

I will provide Certified copies of ID and proof of address.

Certified photo identification for each Director and Shareholder if over (25% shareholding) plus any person acting on behalf of the company (Please refer to the Identification Requirement Sheet)

Certified proof of address for each Director and Shareholder (if over 25% shareholding) plus any person acting on behalf of the company (Please refer to the Document Verification Sheet)

Proof of bank account number

By signing this application form, I/we confirm that I/we have read, understood and agree to be bound by the [terms of the Service Disclosure Statement, Investor Agreement and General Terms and Conditions](#) that govern my/our investments through Southern Cross Partners.

SIGNATURE \_\_\_\_\_

SIGNATURE \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE / / \_\_\_\_\_

Please note that information gathered by us remains Private & Confidential, and that Southern Cross Partners complies with all obligations contained within the Privacy Act 2020 which gives you the right to see and correct information about you held by us.

FOR INTERNAL USE ONLY

COMPLIANCE SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

# IDENTIFICATION REQUIREMENTS

## WHY DO WE NEED YOUR ID

The AML/CFT Act 2009 (The Act) came into effect on 30 June 2013. Southern Cross Financial is legally required to confirm the identity of its customers and any person acting on behalf of the customer.

## WHO NEEDS TO PROVIDE AN ID

In the case of Investors, Section 11 of The Act requires us to conduct customer due diligence on:

- (a) A customer;
- (b) Any beneficial owner of a customer;
- (c) Any person acting on behalf of a customer

## WHAT DO WE NEED TO IDENTIFY

The information required to identify the person(s) is:

- (a) The person's full name and
  - (b) The person's date of birth; and
  - (c) If the person is not the customer, the person's relationship to the customer; and
  - (d) The person's address or registered office;
- and the following, only if relevant;
- (e) The person's company identifier or registration number; and
  - (f) Any information prescribed by regulations.

## ACCEPTABLE IDENTIFICATION DOCUMENTS

Your ID should be current and original and at least one form of ID needs to contain a photo. The ID must be an original of a certified copy. Acceptable identification documents and a list of who is qualified to certify follows: OR, Select Electronic Verification on the Application form.



# ELECTRONIC VERIFICATION (If selected on application form)

- A. Documents to verify full name and DOB  
Passport or Drivers Licence (NZ and Australia only)
- B. Address verification is conducted using Property records (home ownership), Retail account (Energy providers) or Credit Bureau (Centrix).

# PAPER DOCUMENT VERIFICATION (Copies provided by post)

## A. Documents to verify full name, DOB and/or residential address

### One of the following: (Primary Photographic)

- Passport (NZ or overseas)
- NZ certificate of identity
- NZ firearms licence

### OR, NZ Drivers Licence plus one of the following:

- A bank statement issued by a registered NZ Bank, addressed to you and dated within last 12 months.
- A document issued by a NZ government agency containing your name and signature e.g SuperGoldcard.
- IRD statement or other NZ government agency statement addressed to you and dated within last 12 months.

### OR, one of these plus any one under Document list (1)

- Full birth certificate (either NZ or overseas)
- Overseas citizenship certificate

### Document List (1)

- NZ Drivers Licence
- 18+ card
- International Drivers Licence or permit (with photo)

## B. Documents to verify residential address with your name and current address (if address is not already included on the documents mentioned above)

- Utility bill
- Council rates notice / valuation
- NZ Bank statement
- Government agency statements (eg IRD)
- Other independent document

## C. Acceptable persons to certify identification documentation and proof of address

- Justice of peace
- Lawyer
- Member of police
- Registered teacher
- Chartered accountant

\*When certification occurs overseas, copies of the international identification provided by a customer resident overseas must be certified by a person authorised by law in that country to take statutory declarations or equivalent in the customer's country.

Note: (1) Certification must include the name, occupation and signature of the person certifying and the date of certification. (2) The person certifying must sight the original documentation, and make a statement to the effect that the documents provided are a true copy and represent the identity of the named individual (3) Certification must have been carried out in the three months preceding the presentation of the copied documents.

