

IDENTITY DOCUMENT AND IDENTIFICATION REQUIREMENTS

The Anti Money Laundering legislation effective from 30 June 2013 requires financial businesses to obtain and verify the identities, addresses, bank account details and sources of funds of their investors.

Depending on the investor, different identification requirements apply.

Please see the summaries below for financial services identification requirements.

Investor	Identification Requirements
Joint Investor or Individual Investor	<ul style="list-style-type: none"> • Identification document for each individual investor and for each of the authorised signatories. • A rates statement or other document that confirms your name and current address. • A bank account statement and for certain transactions evidence of the source of funds.

Identification documents for Individuals

There are three options in terms of what **original** identification documents you can provide us.

Option A: Any one of.....	Option B: The combination of.....	Option C: The combination of.....
<ul style="list-style-type: none"> • A current Passport or • NZ Certificate of Identity or • NZ Firearms Licence or • National Identity Card 	<ul style="list-style-type: none"> • Either a Birth Certificate or • A Citizenship Certificate <p style="text-align: center;">AND</p> <p>Any one of the following:</p> <ul style="list-style-type: none"> • A current NZ Driver Licence or • A current International Driving Permit and overseas licence or • 18+ Card or • NZ Defence Force Photo Identification or • NZ Police Photo Identification 	<ul style="list-style-type: none"> • A current NZ Driver Licence <p style="text-align: center;">AND</p> <p>Any one of the following:</p> <ul style="list-style-type: none"> • Bank Debit Card or • Bank Credit card or • Eftpos card or • Current bank statement issued by a registered bank or • Current statement from Inland Revenue Department (IRD) or • SuperGold Card
<p>If not providing original documents that can be sighted and confirmed face to face note the certification requirements overleaf.</p>		

Address and Bank Account Identification
<p>To comply with Anti Money Laundering legislation Somerset Smith Partners is required to obtain documentary proof of both an investor's current address and bank account:</p> <ol style="list-style-type: none"> 1. Current Address: a copy of any one of a current*: bank statement, rates, telephone, IRD statement, utility bill or similar that evidences the named investor is currently staying at the physical address. If you are not providing a bank statement as proof of your physical address then we also require; 2. Bank Account: a copy of a current*-bank statement, deposit slip or transaction statement to evidence the name of the investor and the investor's bank account number. <p>Note: If any of the documentation provided is in a maiden name a copy of the marriage certificate to evidence the change of name will be required.</p> <p>* Current = not older than three months for address and not older than 12 months for bank or IRD statement.</p>
<p>If not providing original documents that can be sighted and confirmed face to face note the certification requirements overleaf,</p>

Certification Requirements

Approved Certifiers and Certification	
1	<p>If the originals are not presented and sighted face to face by staff of Somerset Smith Partners, copies of all identification documents mentioned above need to be certified by one of the approved certifiers listed below:</p> <ul style="list-style-type: none"> • Chartered Accountant • Lawyer • Notary Public • Justice of the Peace • Constable or other sworn employee of NZ Police • Member of Parliament • Registered Teacher • Kaumatua • Commonwealth Representative • NZ Honorary Consul • Registered Medical Doctor • Minister of Religion
2	<p>The certification itself must be original and the certifier must:</p> <ul style="list-style-type: none"> • State on the document that the document is a true copy of the original; • Print and sign his/her name on the document and include occupation details; and • Include the date of certification (must be within past 3 months)

Identification requirements for Corporate Entities

Investor	Identification Requirements
All Corporate Entities	<ul style="list-style-type: none"> • Physical business address confirmation, current bank statement and evidence of source of funds PLUS
NZ Unlisted Company NZ Partnership NZ Trust	<ul style="list-style-type: none"> • Identification document as above for each individual where they are trustees, partners, signatories and signing directors; for beneficiaries see note below. • The trust deed, partnership agreement, certificate of incorporation or the constitution document. <p>Note: The name and date of birth of any beneficiary of a Trust may be evidenced by a Birth Certificate if the beneficiary is not a Trustee.</p>
Club, Society, Church, Charities or other Non-profit organisation, School, Foundation	<ul style="list-style-type: none"> • The foundation documents, certificate of incorporation or the constitution document. • Identification documents for all directors, officers, governing body, trustees, board members, signatories and beneficial owner with 25% or greater interest.
Government Organisation NZ listed company	<ul style="list-style-type: none"> • The legislation forming the Government entity, certificate of incorporation or constitution documents. • Identification documents for all signatories.
All other non-individual entities	Please contact us on 06 835 3126 or email to napiers@somsmith.co.nz