

- Complete Sections 1, 2 and 5
- Complete either Section 3 or 4

1. Personal details

Full name:	<input type="text"/>		
Date of birth:	<input type="text" value=""/> / <input type="text" value=""/> / <input type="text" value=""/>		
Permanent residential address (PO Box is NOT acceptable)			
Street:	<input type="text"/>		
Suburb:	<input type="text"/>	Postcode:	<input type="text"/>
City:	<input type="text"/>	Country:	<input type="text"/>

2. Nature and purpose of business relationship

2.1 Is the individual the account holder?
<input type="checkbox"/> Yes - please answer Sections 2.2, 2.3 and 2.4
<input type="checkbox"/> No - please answer Section 3
2.2 Nature of business relationship (select as many of the following categories as applicable)
<input type="checkbox"/> Superannuation transfer
<input type="checkbox"/> Investment expected to be for longer than four years
<input type="checkbox"/> Investment expected to be for shorter than four years
<input type="checkbox"/> Accumulation investment (i.e., funds are being deposited or balance expected to be maintained)
<input type="checkbox"/> Decumulation investment (i.e., funds are being drawn down by the client)

2.3 Original source of funds/wealth

2.4 Expected transactions (please estimate the transactions that will occur in this account):

	Expected amount	Frequency (e.g. monthly, annual)
Expected deposits (total initial deposits)	\$	
Regular savings (if any)	\$	
Regular withdrawals (if any)	\$	
Irregular deposits	\$	
Irregular withdrawals	\$	

3. Electronic identity verification (preferred option)

- For proof of identity, address and PEP checks
- Complete both a and b
- Identity document(s) must be current, valid and with the client's signature

a. Identity (ID)

Choose one from the following two options:

- ☐ New Zealand Driver licence (provide a copy of both front and back with a clear image of the client's face and signature)
- ☐ New Zealand passport (provide a copy with a clear image of the client's face and signature)

b. Proof of residential address

The 'residential address' document must state the client's name and current physical address (not PO Box) and be dated within the last three months.

For existing clients, if the client's address has not changed, the 'residential address' document is not required.

Choose one from the following options:

- ☐ Utility bill (power, rates, landline, internet + router service provider)
- ☐ Central Government Agency document
- ☐ Local Council/Government letter
- ☐ Signed rental tenancy agreement
- ☐ Home insurance policy document
- ☐ Car registration notification
- ☐ Customer profile printout from a registered New Zealand bank, signed by a bank teller
- ☐ Bank statement printout from a registered New Zealand bank



4. Documentary identity verification (alternate option)

- For proof of identity and address
- Certified/verified copies required
- Complete a, b and c
- The identity document(s) must be current, valid and with the client's signature

a. Identity (ID)

Choose one of the three options below i, ii or iii:

i. One form of ID required

- | | |
|--|--------------------------------|
| • Passport (New Zealand or overseas) | • New Zealand Firearms licence |
| • New Zealand Certificate of Identity | • National ID card |
| • New Zealand Refugee travel documentation | • Emergency travel document |

ii. One form of primary non-photo ID and one form of secondary photo ID:

Non-photo ID

- New Zealand full Birth certificate
- Certificate of New Zealand citizenship
- Overseas Citizenship certificate
- Overseas Birth certificate

Secondary photo ID

- New Zealand Driver licence
- New Zealand Defence photo ID
- Police photo ID
- 18+ card or Kiwi Access Card
- International Driving Permit

iii. A New Zealand Driver licence and one of:

- | | |
|--------------------------------|---|
| • New Zealand Defence photo ID | • Bank statement issued by a registered bank |
| • Police photo ID | • A statement or document issued by a Central Government Agency or Crown entity |
| • SuperGold card | |

(Both the above must be dated within the preceding 12 months and record the provision of financial benefits and contain the client's name and residential address)

b. Proof of residential address

For existing clients, if the client's address has not changed, the 'residential address' document is not required.

The 'residential address' document must state the client's name and current physical address (not PO Box) and be dated within the last three months.

The document must be a different document to that used for the client's identity verification.

- | | |
|---|---|
| • Utility bill (power, rates, landline, internet + router service provider) | • Bank statement printout from a registered New Zealand bank |
| • Central Government Agency document | • Customer profile printout from a registered New Zealand bank, signed by a bank teller |
| • Local Council/Government letter | • Car registration notification |
| • Home insurance policy document | |

c. Certification of documents and requirements of the certifier/verifier

If the individual is not able to provide the original documents in person, or only a copy of the original documents can be provided, the documents must be certified by a person authorised to do so by law in New Zealand or in the country the individual lives (a trusted referee) or be verified by a NZBritannia approved financial adviser.

- The certifier/verifier must sight the original and make a copy to make sure both documents are identical.
- All certified/verified documentation must include the certifier/verifier's full name, their capacity to act as a trusted referee, their address and contact details, and be signed and dated by the certifier/verifier within the last three months.
- Where the document has a photo image, the certifier must state on a copy of the original: *"I certify this is a true copy of the original document, which I have sighted, and it represents a true likeness of the individual"*.
- Where the document has no photo image, the certifier must state on the copy: *"I have sighted the original and certify this is a true copy of the original document"*.
- The certifier/verifier must be at least 16 years of age and cannot be related to the individual or live at the same address.

Trusted referees who can certify copies of the originals as true and correct copies:

- Practising solicitor of the High Court of NZ
- Chartered accountant
- Notary public
- Justice of the Peace
- Registered medical practitioner
- Registered teacher
- Sworn member of the police
- Deputy Registrar at a Court
- Any other person authorised by law to take statutory declarations

Verifiers who can verify copies of the originals as true and correct copies:

- NZBritannia employees
- NZBritannia's AML/CFT agents (e.g. adviser or their employee)

Verifiers must use the word 'verify' instead of 'certify' and must also include their full name, occupation, and be signed and dated.

Translation: Documents that are written in a language that is not English must be accompanied by an English translation prepared by an approved translation service/translator. Translation must include date of issue, date of expiry (if applicable), authorising body and translation of personal identification details (e.g. name, address, etc.).

5. Identification and verification conducted by:

NZBritannia
representative's name:

NZBritannia representative's
signature:

Date: