

## AML Checklist

Which checklist applies to my company?

### Section 1: Type of company

- Listed issuer on NZX or ASX :Checklist 1 – listed issuer
- Registered company :Refer to Section 2
- Other :Contact the clearing manager

### Section 2: Type of the beneficial owner(s), owning more than 25% of the company

- Individual :Checklist 2
- Company :Checklist 2
- Trust or Trustee company :Checklist 2 + Checklist 3
- Other :Contact the clearing manager

### Checklist 1 – listed issuer on NZX or ASX

#### Authorised persons

- Evidence for all authorised persons attached

#### Evidence required

- All ID's externally certified by a trusted referee  
 Certification no more than three months old  
 Certification includes the text:

*I certify this to be a true copy of the original, which I have sighted, and it represents the identity of [name of the person].*

### Checklist 2 – registered company, not listed on NZX or ASX

#### 1. Authorised persons

- Evidence for all authorised persons attached

#### 2. Directors

- Evidence for all directors attached  
 PEP questions answered for all directors

#### 3. Owners holding more than 25% of the company

- Evidence for all owners holding more than 25% of the entity attached  
 PEP questions answered for all owners holding more than 25% of the entity

#### Evidence required (applies to all above)

#### ID

- All ID's externally certified by a trusted referee  
 Certification no more than three months old  
 Certification includes the text:

*I certify this to be a true copy of the original, which I have sighted, and it represents the identity of [name of the person].*

#### Proof of residential address

- All proof of residential addresses attached
- Proof not PO box address
- Proof no more than 12 months old

### Checklist 3 – trust ownership

#### 1. Trust

- Full name and address of the trust specified
- Source of wealth of the trust specified
- Source of income for the trust specified
- Evidence for source of wealth / source of income (i.e. relevant excerpt from trust deed)

#### 2. Trustees

- Evidence for all trustees attached
- PEP questions answered for all trustees
- If a trustee company, evidence and PEP questions attached for all directors of the trustee company

#### 3. Beneficiaries

If either a bare trust, discretionary trust or more than 10 beneficiaries:

- Description of class of beneficiaries
- Relevant excerpt from trust deed

Otherwise,

- Evidence for all beneficiaries attached
- PEP questions answered for all beneficiaries

Evidence required (applies to all above)

ID

- All ID's externally certified by a trusted referee
- Certification no more than three months old
- Certification includes the text:

*I certify this to be a true copy of the original, which I have sighted, and it represents the identity of [name of the person].*



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Proof of residential address

- All proofs of residential addresses attached
- Proof not PO box addresses
- Proof no more than 12 months old