



AML information guidance notes

Who do I need to provide verification information for?

We require proof of identity and proof of residential addresses for:

- **ALL** authorized individuals who can instruct ECHL on behalf of your company

AND, unless you are a listed issuer on NZX or ASX:

Proof of ID and residential addresses for:

- **ALL** individuals or directors of an entity which holds more than 25% of shares of your company (directly or indirectly)
- **ALL** directors of your company

AND, if a trust, or a trustee company owns more than 25% of your company (whether directly or indirectly):

Name and address of that trust entity

Proof of ID and residential addresses for:

- **Individuals or directors of entities** holding more than 25% of the trustee company
- **Trustees** of the trust
- **Beneficiaries** of the trust (unless it is a discretionary trust or there are more than 10 beneficiaries – in this case please give us a description of the class of beneficiaries supported by relevant excerpt from the trust deed)

Description of and information to evidence:

- Source of funds for the trust (i.e. where the settlor of the trust's wealth came from – e.g. inheritance)
- Source of the trust's income (e.g. income from underlying company, monthly deposit from a family bank account)



What verification information should I provide?

Acceptable forms of identity verification documents are:

- Passport (current), or
- New Zealand Driver's Licence (current) + Birth Certificate, or
- New Zealand Driver's Licence (current) + Bank Statement, or
- New Zealand Driver's Licence (current) + debit, eftpos or credit card issued by a registered bank – must include a person's full name and signature
- New Zealand Driver's Licence (current) + Statement issued by a government agency

Acceptable forms of address information are set out below, please note PO Boxes are not acceptable:

- Bank Statement or written correspondence with the bank (letters), or
- Government Agency Statement, or
- Utility bill, or
- Rates bill, or
- Insurance policy document, or
- Vehicle registration, or
- Rental tenancy agreement

Address information need not be certified.

What are the certification requirements for identity information?

The identity verification information must either be physically sighted by ECHL or a copy of the verification information must be provided to ECHL which has been externally certified by a trusted referee such as a lawyer or accountant.

Where a certified copy of verification information is provided the copy of the document should be certified as follows:

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].

Please note the certification cannot be more than three months old.

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