



Customer Due Diligence Form - Individual Person

The Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (**Act**) requires Burton Partners to conduct customer due diligence (**CDD**) on its clients where the services to be provided by Burton Partners are captured by the Act.

By law, we are not able to commence any work for a client until we have completed CDD.

To comply with our obligations to complete CDD, we must obtain the information required by this form and verify the identity and address for:

1. the client;
2. each individual who has effective control of the client;
3. each individual who owns more than 25% of the client;
4. each person on whose behalf a transaction is being conducted; or
5. each person acting on behalf of the client or who has authority to act on behalf of the client.

If we have asked you to complete this form, we have determined that the service we are to provide the client is captured by the Act or may lead to the provision of a captured service and that you are a person described in items 1 – 5 above.

If you have any questions about this form, please contact the person you usually deal with at Burton Partners or our AML Compliance Officer by email: nick.lovegrove@burtonpartners.nz.

A. Personal information

Questions	Answers (please complete)
What is your full name?	
What is your date of birth?	
What is your residential address?	
Please indicate which best describes your relationship to the client?	<ul style="list-style-type: none"> I am the client; I am an individual who has effective control of the client; I am an individual who owns more than 25% of the client; I am an person on whose behalf a transaction is being conducted; I am an person acting on behalf of the client or who has authority to act on behalf of the client.
Please describe the nature and purpose of the client's relationship with Burton Partners	
Are you a <i>politically exposed person</i> (see below for explanation)?	Yes / No If yes, you will need to complete the Enhanced Customer Due Diligence Form.
Are you a US citizen or tax payer?	Yes / No

Who is a politically exposed person?

An individual who holds, or has held at any time in the preceding 12 months, in any overseas country, certain prominent public functions. This includes heads of state or of government, government ministers, senior judicial or military officials, senior foreign representatives, ambassadors or high commissioners, senior executives of state/government owned enterprises and Reserve Bank Governor (or equivalent position). It also includes any immediate family member of the individual (i.e. spouse, child, parent etc.) and certain known associates (having regard to publicly available information) of an individual who is a politically exposed person

B. Verification of identity and address

The Act requires us to obtain documents to verify your identity and address. You will need to show original copies of the relevant documents to an employee or agent of Burton Partners for verification or a trusted referee (who must sight the original document and send us an original certified copy). The documents required to verify your identity and address are set out on the next page.

The verification or certification (as applicable) must:

1. include a statement to the effect that the documents provided are a true copy and represent the identity of the named individual;
2. include the name, occupation and signature of the employee, agent or trusted referee and the date of certification. If completed by a trusted referee, the trusted referee must specify their capacity to act as a trusted referee (from the list of trusted referees below); and
3. have been carried out in the last 3 months.

Trusted referee requirements	
A trusted referee is one of the following:	<ul style="list-style-type: none">• Commonwealth Representative• Member of the Police• Justice of the Peace• Registered medical doctor• A person who has legal authority to take statutory declarations or the equivalent• Registered teacher• Minister of religion• Lawyer• Notary public• New Zealand Honorary consul• Member of Parliament• Chartered accountant• Kaumatua
However, the trusted referee must not be:	<ul style="list-style-type: none">• Less than 16 years of age• Related to the client (e.g. a parent, child, brother, sister, aunt, uncle or cousin)• The spouse or partner of the client• A person who lives at the same address as the client• A person involved in the transaction or business requiring the certification
Overseas certification	When certification occurs overseas, copies of international identification must be certified by a person authorised by law in that country to take statutory declarations or equivalent

Documents required to verify your identity

The three options we can accept to verify your identity are described below.

Option 1 (1 document)	One of the following documents: <ul style="list-style-type: none">• NZ passport• NZ certificate of identity• NZ refugee travel document• NZ firearms licence• Overseas passport or similar document issued for the purpose of international travel*• National identity card issued for the purpose of identification*
Option 2 (2 documents)	One of the following documents: <ul style="list-style-type: none">• NZ full birth certificate• Certificate of NZ citizenship• Citizenship certificate issued by foreign government• Birth certificate issued by a foreign government, the United Nations or an agency of the United Nations And one of the following documents: <ul style="list-style-type: none">• NZ driver licence• 18+ Card• Valid and current international driving permit
Option 3 (2 documents)	NZ driver licence and one of the following documents: <ul style="list-style-type: none">• Confirmation that the information presented on the driver licence is consistent with records held in the national register of driver licences• A document issued by a registered bank that contains your name and signature (e.g. a credit card, debit card or EFTPOS card)*• A bank statement issued by a registered bank to you in the last 12 months• A document issued by a government agency that contains your name and signature (e.g. a SuperGold Card)• A statement issued by a government agency to your in the last 12 months (e.g. a statement from IRD)

* Note: must contain name, date of birth, photo and signature and be issued by a foreign government or the United Nations or an agency of the United Nations.

Documents required to verify your residential address

We are also required to obtain documents to verify your residential address. We can accept any one of the following documents to verify your residential address provided it states your residential address and is less than 12 months old:

- NZ driver licence (if address is included)
- Bank statement
- Utility bill
- Statement issued by a government agency to you (e.g. a statement from the IRD)