

# CHRIS LEE & PARTNERS LTD

## CLIENT IDENTIFICATION FORM – INDIVIDUAL OR JOINT INVESTORS

**Originals of evidence provided must be sighted by us, or certified as a true copy**

<b>Full Name of Investor 1</b> <i>(Evidence Required)</i>			
IRD Number	Date of Birth	Phone #	
<b>Full Name of Investor 2</b> <i>(Evidence Required)</i>			
IRD Number	Date of Birth	Phone #	
Tax Rate	<input type="checkbox"/> 10.50% <input type="checkbox"/> 17.50% <input type="checkbox"/> 30% <input type="checkbox"/> 33%		
Email Address	<input type="checkbox"/> Yes please sign me up to your regular newsletters		
Common Shareholder Number	We can set this up if you do not have one	F.I.N	Please call us separately
Bank Account Number	<i>(Evidence Required)</i>		

### Address Details *(Evidence Required)*

Line 1			
Line 2			
City	Post Code	Country	

### Nature & Purpose of Business Relationship

Estimated Funds To Be Invested	\$	Investment Activity Intentions	
Estimated Size of Each Transaction	\$	Do you intend to:	Hold Trade <input type="checkbox"/>

### Level of Service Requested *(Please select one service and sign the applicable service agreement)*

Financial Advice – Class Service	<input type="checkbox"/>	Financial Advice – Managed Portfolio Service	<input type="checkbox"/>
Financial Advice – Personalised Service	<input type="checkbox"/>	<b>No Financial Advice – Broker Service Only</b>	<input type="checkbox"/>

### Disclosures

Are you a Wholesale investor as defined in the FMCA?	YES*	<input type="checkbox"/>	NO	<input type="checkbox"/>	*If yes we will send you a Declaration Form
Have you read our Disclosure Statement?	YES	<input type="checkbox"/>	NO*	<input type="checkbox"/>	*See our website <a href="http://www.chrislee.co.nz">www.chrislee.co.nz</a>
Are any of the Investors Politically Exposed People? *See AML guide	YES*	<input type="checkbox"/>	NO	<input type="checkbox"/>	*If yes please describe in writing separately

### Signatures

Name		Name	
Signature		Signature	
Date		Date	

Information will only be retained for the purpose of this business, in accordance with the Privacy Act 1993.

## **AML GUIDANCE FOR INDIVIDUAL / JOINT CUSTOMERS**

The Anti-Money Laundering and Countering Financing of Terrorism Act 2009 places obligations on us to gather defined information from customers and to report any suspicious transactions. Specifically, we must prove:

**Identity** of the customer and its representatives (such as person with Power of Attorney);

**Date of Birth** of related persons;

**Address Verification**; for all related persons;

**Bank Account** - We seek account number verification to support payments to the correct person.

**Source of Wealth** – We may ask for verification of how the wealth was achieved.

All of this information must be verified as 'true copy' either by way of us meeting you face to face or certified by a trusted referee (cannot be associated with the client), being one of: Justice of the Peace, registered teacher, police, lawyer, registered medical doctor, notary public, minister of religion or member of parliament. Certification must include the name, occupation and signature of the referee and the date of certification must be no more than three months prior to presentation.

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### **EVIDENCE**

**Identity** – copy of currently valid document with full name, signature, a photo and **Date of Birth** (see below, passport is best);

**Address Verification** – Copy of a recent (< 90 days) utility invoice, bank statement or any IRD statement (or other government agency)

**Bank Account** – Copy of a bank statement, coded deposit slip or account verification receipt from the bank for confirming bank account details.

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### **ACCEPTABLE IDENTITY DELIVERY METHODS**

<b>PRIMARY IDENTITY DOCUMENT</b>	<b>ADDITIONAL REQUIREMENT</b>
Passport, NZ Firearms Licence, Certificate of Identity, Refugee Travel Document, National Identity Card	
Drivers Licence <u>AND</u> one of the following:	Super Gold Card, Credit Card*, Debit Card*, Bank Statement, Government Agency Statement. (* Name and signature match Drivers Licence)
NZ Birth Certificate, International Birth Certificate, Certificate of NZ Citizenship, International Certificate of Citizenship, <u>AND</u> one of the following:	NZ Drivers Licence, International Drivers Licence (with photo), 18+ Card, NZ Student ID card, NZ Armed Forces ID, NZ Police ID, Super Gold card (with photo)

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### **POLITICALLY EXPOSED PERSON (PEP) - DEFINITION**

During the past 12 months did the Account Holder (or any authorised person or beneficiary of the account) meet either of the following definitions:

Entrusted with prominent public functions, such as but not limited to, Heads of State or government, important or influential roles in government, justice, military, state owned corporations, or international organisations; or

Closely associated with a person who is a PEP.

## SCOPE OF SERVICE

Chris Lee & Partners is a Broker of investments (shares, bonds, notes etc) and a Financial Adviser to the public for investment decisions (Authorised Financial Adviser). Our investment focus is predominantly on products that will be self-managed and as such we do not perform research on fund managers.

CLP does not offer financial advice on financial planning, debt (mortgages) or insurance. We do not offer Discretionary Investment Management services.

The service types that we will provide, as defined in the Financial Advisers Act are:

SERVICE	ANNUAL FEE	DESCRIPTION
No Advice - Broker	NIL	This is a deal execution service and <u>does not</u> provide 'Financial Advice', although a broker service may follow some form of advice (below).
Class Financial Advice	\$595 +GST	This service <u>does</u> provide 'Financial Advice' but may do so <u>without</u> completing 'suitability analysis' (a full survey of a client's financial circumstances, financial needs, financial goals and tolerance for risk).  We expect the majority of our client service to fall into this category.
Personalised Financial Advice	\$1,500 +GST	This service <u>does</u> provide 'Financial Advice' and does so based on 'suitability analysis' (a full survey of a client's financial circumstances, financial needs, financial goals and tolerance for risk).  We will issue a survey to such clients and retain responses on our database to support the 'Financial Advice' provided to the client. The client will have access to the Personalised Service for 12 months.  A new invoice will be issued every 12 months along with a request for updated information.
Managed Portfolio Service (includes Class Financial Advice)	Subject to scale of portfolio	This service allows clients to have all (non-bank) investment communications delivered to CLP for collection and providing financial advice upon. The folder of information will be returned each year (May) to support tax returns completed by the client.

Brokerage is charged on all secondary market transactions and on some Initial Public Offers (IPO) if the offeror does not pay brokerage on the investment being offered to the public.

**Please sign and return the agreement relating to the service selected.  
The Agreements are contained within the New Client Pack.**