

# CHRIS LEE & PARTNERS LTD

## CLIENT IDENTIFICATION FORM

### Company

Please list all directors plus shareholders holding 25% (or more) of the company.

Company Name		Relationship	% Shareholding
Full Name 1 <i>(Evidence Required)</i>		Director <input type="checkbox"/> Shareholder <input type="checkbox"/>	
Full Name 2 <i>(Evidence Required)</i>		Director <input type="checkbox"/> Shareholder <input type="checkbox"/>	
Full Name 3 <i>(Evidence Required)</i>		Director <input type="checkbox"/> Shareholder <input type="checkbox"/>	
Full Name 4 <i>(Evidence Required)</i>		Director <input type="checkbox"/> Shareholder <input type="checkbox"/>	
Company IRD #			
Phone Numbers			
Email Address			
Company Bank Account Number <i>(Evidence Required)</i>			

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

### Address Details of Company *(Evidence Required)*

Line 1			
Line 2			
Line 3		Post Code	
City		Country	

Common Shareholder Number (If you do not have a CSN, we will set one up for you)

C.S.N		F.I.N	Please call this through to us separately
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Have you seen our **Disclosure Statement**? YES / NO – Please delete one.

It can be read on [www.chrislee.co.nz](http://www.chrislee.co.nz)

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

Broker Service	Financial Advice Class Service	Financial Advice Wholesale Service	Financial Advice Personalised Service	Financial Advice Portfolio Admin Service
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signatures	1.	2.	3.	4.
Date Signed				

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

**CHRIS LEE & PARTNERS  
AML GUIDANCE FOR CUSTOMERS**

The recently enacted Anti-Money Laundering and Countering Financing of Terrorism Act has placed obligations on all businesses handling money to adopt new polices and to gather defined information from customers (Due Diligence) and to report any suspicious transactions.

**We are obliged to prove the following information for a customer:**

**Identity** of the customer and its representatives, related parties or beneficiaries

**Date of Birth** of related persons;

**Address Verification**; for company and company directors & shareholders greater than 25% holding;

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

All of this information must be verified as a 'true copy' either by way of us meeting you face to face, or confirmation by one of: Justice of the Peace, registered teacher, police, lawyer, registered medical doctor, notary public, chartered accountant, minister of religion, member of parliament)

**Evidence of Entity** – We will download a copy of the Certificate of Incorporation and Company Extract. We will require Customer Due Diligence on both directors and shareholders with greater than 25% of the company's shares.

**Identity of natural person(s)** – copy of formal document with a photo and **Date of Birth** (see below)

**Address Verification** – Copy of a recent (prefer <3 months) utility invoice, bank statement or any IRD statement (or document from another government agency) or similar.

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

**ACCEPTABLE IDENTITY DELIVERY METHODS**

PRIMARY IDENTITY DOCUMENT	ADDITIONAL REQUIREMENT
Passport, 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	NZ Drivers Licence, International Drivers Licence (with photo), 18+ Card, NZ Student ID card, Armed Forces ID, NZ Police ID, Super Gold card (with photo)

## 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
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	\$495+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	\$1,250+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.
Wholesale	\$495+GST	Some clients with large portfolios (net assets over \$1 million in one account) may fall into this category which is not covered by the Code of Professional Conduct.  Wholesale clients may choose to 'opt out' of the wholesale category and thus be covered by the Code.  Some clients who assess themselves as skillful enough to make their own assessments of value and risk may be <u>self-classified</u> as 'Eligible Investors', meaning that irrespective of the size of their wealth they wish to make their own decisions and receive advice outside the framework of the Code.

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.**

<b>SOURCE OF WEALTH</b>
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We are obliged to discover the 'Source of Wealth or Funds' of the trust. We appreciate any information that you are able to provide, but offer the following template as a helpful guide.

COMPANY NAME:
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PURPOSE OF COMPANY:	
BENEFICIAL OWNERS:	
FINANCIAL HISTORY OF COMPANY: (source of funds e.g. gifting from X, income from investments etc)	
TYPICAL ASSETS HELD:	
ANY AGENTS ASSISTING THE COMPANY:	
OTHER HELPFUL INFORMATION:	

I understand that a Reporting Entity under the Anti Money Laundering and Countering Financing of Terrorism Act may seek further information from the trust relating to their legal obligations.

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SIGNED BY (on behalf of all directors) by:

Date: