

CHRIS LEE & PARTNERS LTD

CLIENT IDENTIFICATION FORM

Trusts

Trust Name <i>(Trust Deed Required)</i>			
Full Name Trustee 1 <i>(Evidence Required)</i>			
Full Name Trustee 2 <i>(Evidence Required)</i>			
Full Name Trustee 3 <i>(Evidence Required)</i>			
Trust IRD #			
Phone Numbers	1.	2.	3.
Email Address			
Bank Account Number of Trust <i>(Evidence Required)</i>			

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

Address Details of Trust *(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

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.
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 - TRUSTS

The recently enacted Anti-Money Laundering and Countering Financing of Terrorism Act has placed obligations on all businesses handling money to gather defined information from customers (Due Diligence 'CDD') 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 entity and related persons;

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 – Please supply a copy of the Trust Deed plus any subsequent Resolutions establishing changes to the trust. Where a trustee is another entity, such as a company we are also obliged to complete due diligence on this entity.

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

Beneficiaries – where named we must complete CDD on each named person (ID, DOB). Where not named (Discretionary Trust) we must record the 'Class' (e.g. 'Children' etc) and 'Type' ('Discretionary' or 'Final') for beneficiaries. If it is a charitable trust we must record the 'Objects' of the trust.

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.

SOURCE OF WEALTH

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.

ENTITY:

SETTLOR:	
DATE TRUST SETTLED:	
PURPOSE OF TRUST:	
INITIAL ASSET OF TRUST (if known):	
INCOME HISTORY OF TRUST: (source of funds e.g. gifting from X, income from investments etc)	
TYPICAL ASSETS OF THE TRUST:	
ANY AGENTS ASSISTING THE TRUST:	
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.

SIGNED BY (on behalf of all trustees) by:

Date: