

Guide to Identity Documents: Trusts and Estates

This guide has been prepared to help you fill in our Client Information Schedule. If you have any questions regarding identity verification, please talk to your Investment Adviser on 0800 367 227

What do we need as proof of identity?

If you are a **Trust**, we need to see an **original certified copy** of the relevant pages of your Trust Deed, which must show:

- the name of your Trust
- the names of the Trustees
- the names of the Beneficiaries or class/type of Beneficiaries;
- the name of the Settlor
- the signatures of all Trustees

If any Trustee is a **Trustee Company**, we need to see **ALL** these documents:

- Certificate of Incorporation (**original certified copy** if incorporated outside New Zealand); and
- Confirmation of Directors from an **official/independent source (original certified copy** if incorporated outside New Zealand)
- Confirmation of ownership structure from an official/independent source (**original certified copy** if incorporated outside New Zealand)

If you are an **Estate**, we will need to see the **original** or an **original certified copy** of either:

- Probate for the deceased person; or
- Where Probate is not required to be obtained, other documentation that establishes the legal standing of the Estate and of the Executor(s) instructing us on behalf of the Estate. This must include an original certified copy of the Death Certificate.

What else is required?

We are also required to verify the identity and address of each Trustee, Trust Beneficial Owner, Executor and Authorised Person involved with the entity. These requirements are outlined on the reverse of this document.

What do you need to provide to set up a direct debit or direct credit to your Forsyth Barr account?

We require **original** bank account documentation in the Trust or Estate's name, for example:

- a bank encoded deposit slip with pre-printed details of bank account name and number
- a cheque
- a bank statement
- a verification letter or other document of confirmation provided by the Trust or Estate's bank

If the Trust does not have a bank account, original bank account documentation in the same name(s) as the Trustees should be provided.**

* *Firearms Licence: If you provide us with a certified copy of a Firearms Licence, please also provide a certified copy of a NZ Driver Licence or card issued by a registered bank showing your name and signature in order for us to verify your signature on your Client Agreement.*

** *An additional form may need to be completed by all trustees.*

WHAT IS 'AN ORIGINAL CERTIFIED COPY' OF A DOCUMENT?

An 'original certified copy' of a document is one where a trusted referee has viewed the original document and compared it with a scanned or photocopied version. The trusted referee provides a written

statement on the copy to the effect that the copy provided is a true and correct copy and represents your identity. The trusted referee's written statement must include their name, occupation, and

signature and the date of confirmation. Please note: This confirmation is only valid for three months.

WHO IS A 'TRUSTED REFEREE'?

He or she is someone who:

- is at least 16 years old
- is not your spouse or partner
- is not related to you
- does not live at the same address as you
- is not involved in the business or transaction requiring the certification e.g. Trustees, beneficiaries and solicitors instructing the sale

They must be a:

- Commonwealth representative
- New Zealand Police Constable
- Justice of the Peace
- Registered Medical Doctor
- Registered Teacher
- Minister of Religion
- Lawyer
- Notary Public
- New Zealand Honorary Consul
- Member of Parliament
- Chartered Accountant
- Kaumatua

WHAT ARE SOME EXAMPLES OF AN 'OFFICIAL/INDEPENDENT SOURCE'?

- Lawyer
- Accountant
- Company Registry
- Financial Accounts

Please turn over

Guide to Identity Documents for: Trustees, Trust Beneficial Owners, Executors and Authorised Persons

What do we need as proof of identity?

You need to provide the **original** for verification, or an **original certified copy** of a document that has your **full name, date of birth, signature, and photograph** on it, such as:

- A current Passport
- A foreign National Identity Card
- A current New Zealand Firearms Licence*

If you can't provide any of those forms of identification, you need to provide the **original** for verification or **original certified copies** of your current **New Zealand Driver's Licence** (showing both sides of the Licence).

plus **ONE** of these documents:

- Your Birth Certificate or Citizenship Certificate
- A Government agency document with your full name and signature (e.g. SuperGold Card)
- A Government agency statement dated within the last 12 months (e.g. IRD statement)
- A document issued by a registered bank showing your name and signature (e.g. credit/debit card, eftpos card)
- A bank statement dated within the last 12 months issued by a registered bank (delivered by mail, not via internet banking)

Who is a Trust Beneficial Owner?

- Any beneficiary that has a vested interest of more than 25% in the Trust property
- Any individual (other than the Trustees) who has effective control over the Trust, specific Trust property, or with the power to amend the Trust's deeds, or remove or appoint Trustees
- All directors of a Trustee Company
- Any individual who owns more than 25% of a Trustee Company

What do we need as proof of residential address?

We need a copy of **ONE** of these documents, dated **within the last 12 months** and addressed to you:

- | | |
|----------------------------|--|
| • Utility or Rates bill | • Bank statement |
| • Telephone bill | • Government Agency statement (e.g. IRD Statement) |
| • Insurance policy | • Electoral Roll entry |
| • Share registry statement | • Online White Pages statement |
| • Credit Card statement | |

If you have already supplied a Bank statement or Government Agency statement as proof of identity, you don't need to supply it again.

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