



AML/CFT Legislation

(Anti-Money Laundering and Countering Financing of Terrorism Act 2009)

Compliance with the Act, which came into force in New Zealand on 30th June 2013, is compulsory for all Investment Managers (including Banks), and our compliance is overseen by the Financial Markets Authority.

This short series of questions is designed to assist us with our compliance obligations.

More information about the Act can be found at

<http://www.legislation.govt.nz/act/public/2009/0035/latest/DLM2140720.html>

Name of Trust: _____

(Copy of Trust Deed together with deeds appointing or removing trustees must be provided)

Address of Trust: _____

Settlor(s): _____

Origin of Settlor(s) wealth: _____

(For example, inheritance, business earnings, sale of property – Proof is required)

Source of Income? Is the Trust earning? No / Yes, from where? _____

(For example, monthly deposit from a bank account, rental income – Proof is required)

Trustee(s): _____

Person's acting on behalf of the Trust: _____

(This is anyone who has the authority to carry out transactions on behalf of the trust)

Any other individual who has effective control over the Trust: _____

(This is anyone who has the power to amend the Trust's deed, or remove or appoint trustees)

ID requirements are applicable for all of the above individuals.

When professional entities are appointed, for example as corporate trustee or agent, we also need to identify the individual(s) representing the corporate trustee or agent.

| Beneficiaries Names | DOB | Beneficiaries Names | DOB |
|---------------------|-------|---------------------|-------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

Description of each class of beneficiaries: _____

Additional Information: _____

*Please note that information gathered by us remains Private & Confidential, and that Southern Cross Financial complies with all obligations contained within the **Privacy Act 1993**.*