

AML/CFT Checklist

Client name (Company/Trust/Individual/Other): _____

Date scheduled to complete AML/CFT: _____

 Level of CDD: Simplified Standard Enhanced

Nature of business relationship – which of the following apply? (tick)

<input type="checkbox"/>	No AML relevant business relationship
<input type="checkbox"/>	Acting as a formation agent of legal persons or legal arrangements
<input type="checkbox"/>	Acting as, or arranging for a person to act as, a nominee director or nominee shareholder or trustee in relation to legal persons or legal arrangements
<input type="checkbox"/>	Providing a registered office or a business address (other than as solely ancillary to a non-captured service)
<input type="checkbox"/>	Managing client funds (other than sums paid as fees for professional services), accounts, securities, or other assets
<input type="checkbox"/>	Providing real estate agency work to effect a transaction
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for any conveyancing to effect the sale, the purchase, or any other disposal or acquisition of a freehold estate or interest in land
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for any conveyancing to effect the grant, sale, or purchase or any other disposal or acquisition of a leasehold estate or interest in land (other than a tenancy)
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for any conveyancing to effect the grant, sale, or purchase or any other disposal or acquisition of a licence that is registrable under the Land Transfer Act 1952
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for any conveyancing to effect the grant, sale, or purchase or any other disposal or acquisition of an occupation right agreement within the meaning of section 5 of the Retirement Villages Act 2003
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for a transaction
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for the transfer of a beneficial interest in land or other real property
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for a transaction on behalf of any person in relation to the buying, transferring, or selling of a business or legal person and any other legal arrangement
<input type="checkbox"/>	Engaging in or giving instructions on behalf of a customer to another person for a transaction on behalf of a customer in relation to creating, operating, and managing a legal person and any other legal arrangement
<input type="checkbox"/>	Other:

Trading name (if different from name):

Type of Company/Trust:

NZBN (or Company number):

Jurisdiction: NZ or Other:

Note- NZBN and registered address will auto-populate in Connectworks

Registered address:

CDD Candidates (list full names and DOB):

Is any candidate politically exposed? Yes or No *If yes, please provide more information separately*

Source of funds:

RISK ASSESSMENT – Which of these apply?(tick)

<input type="checkbox"/> Cannot verify client identities	<input type="checkbox"/> Lack of ML/TF awareness
<input type="checkbox"/> Cash-intensive business	<input type="checkbox"/> New payment technologies
<input type="checkbox"/> Client accounts	<input type="checkbox"/> Other complex legal arrangements
<input type="checkbox"/> Complexity	<input type="checkbox"/> Politically exposed persons
<input type="checkbox"/> Currency exchange business	<input type="checkbox"/> Real estate
<input type="checkbox"/> Foreign currency accounts	<input type="checkbox"/> Remittance provider
<input type="checkbox"/> High net worth individuals	<input type="checkbox"/> Shell companies
<input type="checkbox"/> High-risk jurisdictions	<input type="checkbox"/> Technologies favouring anonymity
<input type="checkbox"/> International pay	<input type="checkbox"/> Other risk

Overall Risk assessment: Not decided Low Medium Medium-high High

Proceed or not with client: Not decided Yes No

Other notes: _____

