AML for a deceased Client's Estate (Form 5)

Use this form when a deceased person has been a client of NZ Funds and the Estate will be distributed. Use 'AML Form 6 for an ongoing Estate' for ongoing Estates.

NZ Funds is required by the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (AML / CFT Act) to collect identity and address information on its clients.

Return this form and original certified copies to New Zealand Funds Management Limited, Private Bag 92226, Victoria Street West, Auckland 1142, or by email to registry@nzfunds.co.nz.

1. Estate details

Estate name

Deceased person's NZ Funds client number

Estate address

Street / PO Box

Suburb | Town / City | Postcode

2. Identification requirements for Estate

Attach the following identification documents for the Estate as appropriate.

- ☐ Grant of Probate
- ☐ Certificate of Administration
- ☐ Will
- ☐ Letters of Administration
- ☐ Death Certificate

3. Identity verification by your Financial Adviser or an NZ Funds employee*

Verify that the details shown by the attached documents correctly represent the Estate identity information provided on this form.

Attach copies to this completed form before signing and dating the statement below.

Name

I, ______________________________ confirm that I

have sighted documents provided (copies of which are attached to this form), and have used those documents to verify client identity information as is required by the Anti-Money Laundering and Countering Financing of Terrorism Act 2009.

Signature of Financial Adviser / NZ Funds employee*

Day Month Year

* To complete verification the adviser, employee or other authorised person must be listed on the NZ Funds 'Register of Individuals Authorised to perform CDD'.

4. Personal representatives†

For all personal representatives, list full names below and complete 'AML Form 1 for an Individual' for each.

If any of the personal representatives are companies please complete and attach 'AML Form 4 for a Company'.

Personal representative 1

Title	First name	Middle name(s)	Surname

Personal representative 2

Title	First name	Middle name(s)	Surname

Personal representative 3

Title	First name	Middle name(s)	Surname

Personal representative 4

Title	First name	Middle name(s)	Surname

Personal representative company

Name

† Personal representatives may be the executors or Trustees of an Estate under a Will, or the administrator under a grant of administration.

5. Exception handling procedures

Please contact NZ Funds on **0800 377 2277** or via email at **onboarding@nzfunds.co.nz** for assistance should any exception arise.