



## MARS CAP LIMITED – DOCUMENT VERIFICATION GUIDE AND CHECKLIST

The Mars Cap Limited (MCL) document verification guide and checklist (the *Guide* and *Checklist*, respectively) is designed to be used as a supplementary document with the MCL account opening form and/or MCL change of details form.

### **DOCUMENT VERIFICATION**

The chart below provides an overview of the documentation certification required by MCL in order to verify the information you have provided in support of your application/request for change of details. Please contact your MCL representative if you have any questions, or would like to discuss any alternative identification/verification methods.

<b>Individual Identity Documentation</b>	<p>One of the following forms of photographic identification is required:</p> <ul style="list-style-type: none"> <li>• New Zealand or overseas passport.</li> </ul>
<b>Residential Address Documentation</b>	<p>Any one of the following documents, dated within the last 3 months (as at date of application or request for change of details):</p> <ul style="list-style-type: none"> <li>• Bank statement</li> <li>• Utility bill (fixed line telephone; gas; power; water)</li> <li>• Local authority rates bill</li> <li>• Inland Revenue correspondence</li> <li>• Government communications or statement</li> <li>• Residential tenancy or lease agreement (must be signed by both the tenant and landlord)</li> </ul>
<b>Verification of Documents Required</b>	<p>Copies of the documents must be provided to MCL, certified by a "trusted referee" (see below).</p> <p>The certified copies must contain the following wording:</p> <p><i>"I certify that this is a true copy of the original [identification/proof of address] document, which I have sighted, and represents the [identity of/original documentation presented by] the person described in the original document."</i></p> <p>Copies must also state the trusted referee's name and capacity, and be dated within 3 months of the document being presented to MCL.</p> <p>In addition, the trusted referee cannot be an individual related to the client (such as a family member or relative), an individual living at the same address as the client, or an individual involved in the business or transaction which requires the certification.</p>

	<p><b>Trusted Referees - New Zealand based clients:</b></p> <ul style="list-style-type: none"> <li>• In New Zealand, documents must be certified by a trusted referee, who must be of a minimum age of 16 years and any one of the following: <ul style="list-style-type: none"> <li>◦ Commonwealth representative (as defined in the <a href="#">Oaths and Declarations Act 1957</a>)</li> <li>◦ Member of the police</li> <li>◦ Justice of the peace</li> <li>◦ Registered medical doctor</li> <li>◦ Kaumātua (as verified through a reputable source)</li> <li>◦ Registered teacher</li> <li>◦ Minister of religion</li> <li>◦ Lawyer (as defined in the <a href="#">Lawyers and Conveyancers Act 2006</a>)</li> <li>◦ Notary public</li> <li>◦ New Zealand Honorary consul</li> <li>◦ Member of Parliament</li> <li>◦ Chartered accountant (within the meaning of <a href="#">section 19 of the New Zealand Institute of Chartered Accountants Act 1996</a>)</li> <li>◦ A person who has the legal authority to take statutory declarations or the equivalent in New Zealand.</li> </ul> </li> <li>• MCL will make note of whether if the client has been verified face to face, or only remotely via email, telephone or audio-visual means.</li> </ul> <p><b>Trusted Referees - overseas based clients:</b></p> <ul style="list-style-type: none"> <li>• Certification of identity documents carried out overseas must be completed by an individual authorised by law in that country to take statutory declarations (or the equivalent in New Zealand).</li> </ul>
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## **DOCUMENT CHECKLIST**

Please ensure the following list of documents is provided with your application.

### **1. INDIVIDUALS (for all individuals named)**

- ☐ **Certified** identity verification
- ☐ **Certified** proof of address
- ☐ Evidence of bank account details (bank statement on issuing bank letterhead or bank printed deposit slip) (if required by MLC)
- ☐ Copy of power of attorney (if applicable)
- ☐ Certificate of non-revocation of power of attorney (if applicable)
- ☐ Wholesale investor certificate (if applicable)

### **2. ENTITIES**

- ☐ Company extract and incorporation certificate (if the entity is a company)
- ☐ Limited partnership deed (if the entity is a limited partnership)
- ☐ Establishment documentation for all other entities (where applicable to evidence the structure, persons with effective control and validity of such entities)
- ☐ **Certified** identity verification for all individuals named
- ☐ **Certified** proof of address for all individuals named
- ☐ Evidence of bank account details (bank statement on issuing bank letterhead or bank printed deposit slip) (if required by MLC)
- ☐ Copy of power of attorney (if applicable)
- ☐ Certificate of non-revocation of power of attorney (if applicable)
- ☐ Wholesale investor certificate (if applicable)

### **3. TRUSTS**

- ☐ Trust deed and any amendments/variations to the trust deed
- ☐ For all individual trustees - document checklist above for individuals
- ☐ For all corporate trustees - document checklist above for entities
- ☐ Evidence of bank account details (bank statement on issuing bank letterhead) (if required by MLC)



- ☐ 'Source of wealth' section is completed and supporting documentation attached
- ☐ Wholesale investor certificate (if applicable)