



Designated Non-Financial Businesses or Professions Enrolment Form

Please complete this form to inform the Department of Internal Affairs of your business details and how or if you are captured as a reporting entity under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (the Act).

Please send the completed form to: amlcft@dia.govt.nz

Business Legal Name:

Abbreviated Name:

Company Number:

NZBN:

FSP registration number (if you have one):

Website:

Trading Name (if different):

Physical Address:

Postal Address:

Compliance Officer Name:

Compliance Officer Phone Number:

Compliance Officer Email Address:

Please identify all the sectors in which you carry out activities in the ordinary course of your business. If you select more than one, please inform us which is your primary sector.

Know which sector you belong to and which services you provide under the Act? **Complete both table 1.A and 1.B.**

Unsure which sector you belong to and which services you provide under the Act? **Complete table 2 only.**

1A. Non-Financial Business or Profession Sectors

Accounting Practice	Law Firm
Bookkeeping	Incorporated Conveyancing Firm
Barrister Sole	Conveyancing Practitioner
Barrister and Solicitor	Trust and Company Service Provider
Real Estate Agent	High Value Dealer

Primary Sector:

1B. Non-Financial Business or Profession Services

Please select what service(s) you provide.

Acting as a formation agent of legal persons or legal arrangement.

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.

Providing a registered office or a business address, a correspondence address, or an administrative address for a company, or a partnership, or for any other legal person or arrangement, unless the office or address is provided solely as an ancillary service to the listed provision of other services (being services that do not constitute any of the activities listed in this table).

Managing client funds (other than sums paid as fees for professional services), accounts, securities, or other assets.

Engaging in or giving instructions on behalf of a customer to another person for any conveyancing (within the meaning of section 6 of the lawyers and Conveyancers Act 2006) to effect a transaction (within meaning of section 4(1) of the Real Estate Agents Act 2008).

Engaging in or giving instructions on behalf of a customer to another person for a transaction (within the meaning of section 4(1) of the Real Estate Agents Act 2008).

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.

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 (for example, a company) and any other legal arrangement.

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 creating, operating, and managing a legal person (for example, a company) and any other legal arrangement).

Buying or selling specified high value goods in the ordinary course of your business, by way of a cash transaction or related cash transactions which equal or exceed the prescribed transaction threshold (currently \$10,000).

None of the above.

The 'Captured Activities' table below provides us with additional information about your business when you are unsure which sector you belong to or which services you provide. This is used when we need to further assess if you are a reporting entity under the AML/CFT Act and whether the Department is your appropriate AML/CFT supervisor.

Please complete table 2 below if you are unable to complete table 1A and 1B. You will find a list of captured activities for DNFBPs under the Act on the following page.

2. Captured Activities

Select up to three captured activities described in the AML/CFT Act below:

a.

b.

c.

Description of primary service:

Description of secondary service:

The AML/CFT Act defines a designated non-financial business or profession as a law firm, conveyancing practitioner, an incorporated conveyancing firm, an accounting practice, a real estate agent, or a trust and company service provider who, in the ordinary course of business, carries out 1 or more of the following activities:

- i. acting as a formation agent of a legal person or legal arrangements:
- ii. acting as, or arranging for a person to act as, a nominee director or nominee shareholder or trustee in relation to a legal persons or legal arrangements:
- iii. providing a registered office or business address, a correspondence address, or an administrative address for a company, or a partnership, or for any other legal person or arrangement, unless the office or address is provided solely as an ancillary service to the provision of other services (being services that do not constitute an activity listed in this subparagraph or subparagraphs (i), (ii), and (iv) to (vi)):
- iv. managing client funds (other than sums paid as fees for professional services), accounts, securities, or other assets:
- v. providing real estate agency work (within the meaning of section 4(1) of the Real Estate Agents Act 2008) to effect a transaction (within the meaning of section 4(1) of the Real Estate Agents Act 2008):
- vi. engaging in or giving instructions on behalf of a customer to another person for –
 - (A) any conveyancing (within the meaning of section 6 of the Lawyers and Conveyancers Act 2006) to effect a transaction (within the meaning of section 4(1) of the Real Estate Agents Act 2008), namely,
 - the sale, the purchase, or any other disposal or acquisition of a freehold estate or interest in land:
 - the grant, sale, or purchase or any other disposal or acquisition of a leasehold estate, or interest in land (other than a tenancy to which the Residential Tenancies Act 1986 applies):
 - the grant, sale, or purchase or any other disposal or acquisition of a licence that is registrable under the Land Transfer Act 1952
 - 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:
 - (B) a transaction (within the meaning of section 4(1) of the Real Estate Agents Act 2008); or
 - (C) the transfer of a beneficial interest in land or other real property or
 - (D) a transaction on behalf of any person in relation to the buying, transferring, or selling of a business or legal person (for example, a company) and any other legal arrangement; or
 - (E) a transaction on behalf of any person in relation to creating, operating, and managing a legal person (for example, a company) and any other legal arrangement.

High-value dealers

You will be considered a high-value dealer under the AML/CFT Act if you carry out cash transactions of \$10,000 or more, in the ordinary course of business, and if you are dealing in any of the following items:

- paintings:
- prints:
- protected foreign objects (within the meaning of section 2(1) of the Protected Objects Act 1975):
- protected New Zealand objects (within the meaning of section 2(1) of the Protected Objects Act 1975):
- sculptures:
- photographs:
- carvings in any medium:
- other artistic or cultural artefacts:

Note: We encourage businesses who decide they are not reporting entities under the Act to record the reasons why they made that decision and provide a copy of this to the Department. This should include the process you undertook to reach that decision and the factors you considered. This record will help in the future if the Department reviews your business' status under the Act. It will also help you review your position if there are any changes in your business, or if you are requested by your clients to conduct activities that are captured by the Act.

Please use the space below if there is additional information you think may be of relevance.