



Financial Service Providers Enrolment form

Please complete this form to inform the Department of Internal Affairs of your business details and how or if you are captured under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (the AML/CFT 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:

Captured activity start date:

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 state your primary sector.

Registered on the Financial Service Providers Register and carry out more than one financial service? **Complete both table A and B**

Unsure which sector you belong to? **Complete table B only**

A. Financial Services Sectors

Money Remittance

Debt Collection

Currency Exchange

Factoring

Payment Providers

Financial Leasing

Non-Bank Non-Deposit Taking Lenders

Payroll Remittance

Non-Bank Credit Cards

Safe Deposit Boxes

Stored Value Cards

Virtual Asset Provider

Cash Transport

Tax Pooling

Primary Sector:

B. Financial Services Sectors

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

a.

b.

c.

Description of primary financial service:

Description of secondary financial services:

The AML/CFT Act defines a financial institution as a person who, in the ordinary course of business, carries on 1 or more of the following financial activities:

- i. accepting deposits or other repayable funds from the public:
- ii. lending to or for a customer, including consumer credit, mortgage credit, factoring (with or without recourse), and financing of commercial transactions (including forfeiting):
- iii. financial leasing (excluding financial leasing arrangements in relation to consumer products):
- iv. transferring money or value for, or on behalf of, a customer:
- v. issuing or managing the means of payment (for example, credit or debit cards, cheques, traveller's cheques, money orders, bankers' drafts, or electronic money):
- vi. undertaking financial guarantees and commitments:
- vii. trading for, or on behalf of, a customer in any of the following using the person's account or the customer's account:
 - A. money market instruments (for example, cheques, bills, certificates of deposit, or derivatives):
 - B. foreign exchange:
 - C. exchange, interest rate, or index instruments:
 - D. transferable securities:
 - E. commodity futures trading:
- viii. participating in securities issues and the provision of financial services related to those issues:
- ix. managing individual or collective portfolios:
- x. safe keeping or administering of cash or liquid securities on behalf of other persons:
- xi. investing, administering, or managing funds or money on behalf of other persons:
- xii. issuing, or undertaking liability under, life insurance policies as an insurer:
- xiii. money or currency changing.

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.