

## Form: Notification to AML/CFT supervisor about designated business group

Please complete this form to inform the relevant Anti-Money Laundering and Countering Financing of Terrorism (**AML/CFT**) supervisor of your request to elect, form, change or terminate a designated business group (**DBG**).

Reporting entities supervised by the Department of Internal Affairs may also use AML Online to create and manage DBGs.

<b>Name of designated business group:</b>	
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<b>Contact person for the designated business group:</b>	
<b>Name of contact:</b>	
<b>Role in entity:</b>	
<b>Name of entity:</b>	
<b>Office address:</b>	
<b>Contact phone number:</b>	
<b>Email:</b>	

<b>Purpose of this notification:</b>	
<input type="checkbox"/>	Formation of a new designated business group (complete Part A below)
<input type="checkbox"/>	Election of a new member to an existing designated business group (complete Part A below)
<input type="checkbox"/>	Other changes to an existing designated business group (complete Part B below)

**Part A: for forming a new DBG or electing a new member to an existing DBG****1. Members electing to join the designated business group (continue on a separate page if required):**

Name of member	Name of Compliance Officer <sup>1</sup>	Is the proposed member a NZ AML/CFT reporting entity?	Date the entity became (or will become) a reporting entity	Products and services offered <sup>2</sup> (please also indicate which product/service forms part of the entity's primary business activity)

☐ Have all members elected in writing to join the designated business group?

☐ Have all members agreed in writing to adhere to the privacy principles 5-12 as set out in section 22 of the Privacy Act 2020?

**2. Each member of the designated business group is one of the following criteria:**

<input type="checkbox"/>	Related to each other member of the group within the meaning of section 2(3) of the Companies Act 1993 and is – i. A reporting entity resident in New Zealand ii. A person that is a resident in a country with sufficient Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) systems and is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	Providing a service under a joint venture agreement, to which each member of the group is a party; or
<input type="checkbox"/>	A public service agency as defined in section 5 of the Public Service Act 2020, a State Enterprise under the State-Owned Enterprises Act 1986, or a Crown Entity under section 7 of the Crown Entities Act 2004; or
<input type="checkbox"/>	Related to one or more of the public service agencies defined in section 5 of the Public Service Act 2020, a State Enterprise under the State-Owned Enterprises Act 1986, or a Crown Entity under section 7 of the Crown Entities Act 2004 through the provision of common products or services; or
<input type="checkbox"/>	A body corporate that is either a company (within the meaning of section 2(1) of the Companies Act 1993) or an overseas company within the meaning of that section; and is related (within the meaning of section 12(2) of the Financial Markets Conduct Act 2013) to every body corporate in the designated business group or proposed designated business group, and is either – i. A reporting entity resident in New Zealand; or ii. A person that is resident in a country with sufficient AML/CFT systems and that is

<sup>1</sup> If the compliance officer is different to the contact person for the DBG stated above, also provide the compliance officer's contact details.

<sup>2</sup> That are captured by the AML/CFT Act.

	supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related law firm, or a subsidiary of a law firm, that is either – i. A reporting entity resident in New Zealand; or ii. The equivalent body in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related conveyancer, or a subsidiary of a conveyancer, that is either – i. A reporting entity resident in New Zealand; or ii. The equivalent body in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related accounting practice, or a subsidiary of an accounting practice, that is either – i. A reporting entity resident in New Zealand; or ii. The equivalent body in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related trust and company service provider, or a subsidiary of a trust and company service provider, that is either – i. A reporting entity resident in New Zealand; or ii. The equivalent body in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related real estate agent, or a subsidiary of a real estate agent, that is either – i. A reporting entity resident in New Zealand; or ii. The equivalent in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A related high-value dealer, or a subsidiary of a high-value dealer, that is either – i. A reporting entity resident in New Zealand; or ii. An equivalent person resident in another country with sufficient AML/CFT systems and that is supervised or regulated for AML/CFT purposes; or
<input type="checkbox"/>	A money transfer agent or sub-agent and related to every other entity in the designated business group or proposed designated business group in either of the following ways: i. One of those entities is a money transfer agent and the other entities are the sub- agents of that agent; or ii. Those entities are each sub-agents of the same money transfer agent; or
<input type="checkbox"/>	An entity or class of entities prescribed by regulations to be eligible to become a member of a designated business group.
<input type="checkbox"/>	A related limited partnership

**Note:** Please also provide evidence to support this notification. Evidence can be in the form of an organisation chart, written business agreements or a description of how the members are related.

3. I confirm that I am the contact person of this designated business group, and will notify the AML/CFT supervisor, in writing, within 30 days of any of the following:
  - a) A withdrawal of a member from the designated business group,
  - b) The termination of the designated business group.
  - c) Any other change in the details previously notified to any AML/CFT supervisor in respect of the designated business group.
  
4. Date the election is to be effective from: Enter date which must be a minimum of 30 days from the date the form is sent

<b>Name of contact:</b>	
<b>Role in entity:</b>	
<b>Signature:</b>	
<b>Date:</b>	

<b>Part B: for other changes to an existing DBG</b>	
<b>1. Changes to the designated business group:</b>	
<input type="checkbox"/>	A withdrawal of a member from the designated business group
<input type="checkbox"/>	The termination of the designated business group
<input type="checkbox"/>	A change in contact person for the designated business group
<input type="checkbox"/>	Any other change in the details previously notified to any AML/CFT supervisor in respect of the designated business group
<input type="checkbox"/>	Other

<b>Please describe the change in detail:</b>
<p>Click or tap here to enter text.</p>

2. The change to the designated business group is to be effective from: Click or tap here to enter text.

<b>Name of contact:</b>	
<b>Role in entity:</b>	
<b>Signature:</b>	
<b>Date:</b>	