

IVCM (NZ) PIE Superannuation Fund

for Adviser/member

CHECKLIST IN SUBMITTING NEW BUSINESS NZ PIE APPLICATION

This one-pager New Business Checklist will guide you about the documents required by IVCM to ensure that the submitted application and setting up of your client's NZ PIE account is processed promptly.

Adviser's Terms of Business with IVCM [for advised clients only]

Please ensure that the adviser has set up their Terms of Business (TOB) with IVCM. We cannot proceed unless this is set up. Please get in touch with our Introducer Analyst for requirements and procedure: compliance@ivcm.com

Fully Completed IVCM (NZ) PIE Application Form

A fully and correctly completed application form is required. All information where applicable must be supplied in each section of the application. If unsure about what to indicate on the application, please contact our new business team on newbusiness@ivcm.com. Use the current application form available in our website.

AML Document - Certified Proof of Identity [Passport Copy or Driver's License]

Please ensure to provide one [1] set of proof of identity. In case the client has more than one transfer, then additional certified proof of ID must be provided to each ceding scheme.

AML Document - Certified Proof of Address [Utility Bill, Bank Statements, etc.]

Please ensure to provide one [1] set of proof of address. In case the client has more than one transfer, then additional certified proof of address must be provided to each ceding scheme. Please ensure that the address on NZ PIE application form matches the address on Proof of Address submitted.

Guidelines and Requirements on certifying documents

Who can certify the documents?

The document must be certified by a trusted referee such as a member of the judiciary, police or customs officer, notary public, actuary, lawyer, or accountant who is authorised to certify documents in the country of tax residence of the individual and are members of a professional body.

The trustee referee must sign and date the document, printing their name, position, and the date below their signature as well as their full contact details.

Note: The trusted referee must NOT be related to the individual; the spouse or partner of the individual; a person who lives at the same address as the individual; or a person involved in the transaction or business requiring the certification.

Strict use of suitable wording for certification of proof of identity document

"I have sighted the original and certify that this is a true and correct copy and represents the identity of the named individual, who I have met. I further certify that I am a person authorised to make a declaration in the country I live, and I am not closely related to the person whose document I am certifying."

Strict use of suitable wording for certification of proof of address document

"I certify that this is a true copy of the original document which I have sighted."

We will require a utility bill, Bank Statements, etc to verify your address. This must be no more than three months old and must be either an original utility bill or a copy of an original certified by a trusted referee.

Transfer Discharge Forms - Application with Transfer/s from the UK ceding scheme, QROPS and Foreign Transfers

Member must provide Transfer Discharge Forms that a member has dated and signed. The client is responsible for completing the member section of the form.

APSS263 (HMRC Form) - Application with Transfer from the UK

A member signed APSS263 HMRC form. A member signed APSS255 HMRC form. A pre-completed form can be downloaded from our website: www.ivcm.com

APSS255 (HMRC Form) - Application with Transfer from the Qualifying Recognised Overseas Pension Scheme (QROPS)

A member signed APSS255 HMRC form. A pre-completed form can be downloaded from our website: www.ivcm.com

Benefit Request Form

Please complete this form if the member wishes to take retirement benefits from the IVCM (NZ) PIE Superannuation Fund by regular, partial, or full withdrawal. You can download the form from our website at www.ivcm.com in the Servicing Forms Section. Scanned copies of the form are also acceptable.

Nominated Beneficiaries Form

This Nomination form enables you to indicate who you would like to receive any benefits on your death. You can download the form from our website at www.ivcm.com in the Servicing Forms Section. Scanned copies of the form are also acceptable.