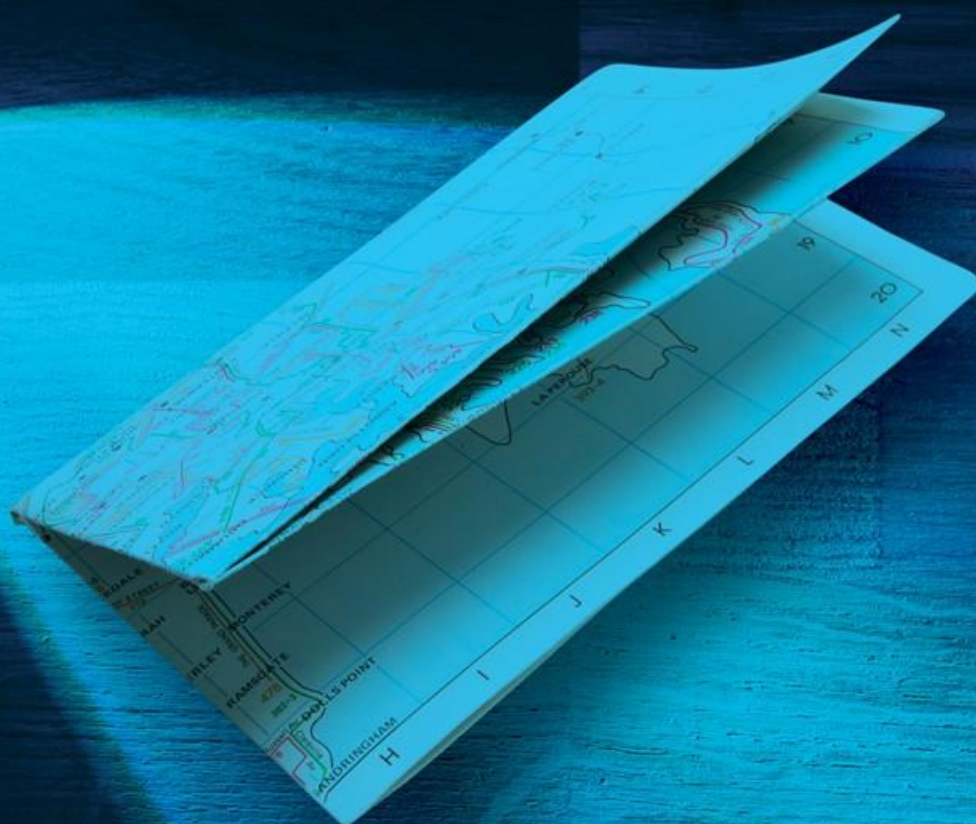




Strategi
Compliance

How to register a reporting entity on goAML Web



BEST PRACTICE

GUIDANCE NOTE

ADVICE YOU CAN
PROFIT FROM

Contents

Introduction	2
How to register on goAML Web	2
Register	3
Administrator.....	8
Attachments	11
Preview and Submit.....	11
Appendix A:.....	13
Appendix B:	13
Appendix C:	14
Appendix D:.....	14

Introduction

Reporting entities are required to report suspicious activities in a prescribed form to the Commissioner of Police. That prescribed form, and the means by which it must be submitted, is goAML Web.

All reporting entities must register with the Financial Intelligence Unit (FIU) before they can access goAML Web. If you do not register on the goAML Web, then you will not be able to file a suspicious activity report (SAR), when you need to. Failing to report a SAR may result in a fine of up to \$300,000 and/or imprisonment of up to two years for individuals, and a fine of up to \$5 million for entities.

This guidance note describes how reporting entities can register as a user of goAML Web.

How to register on goAML Web

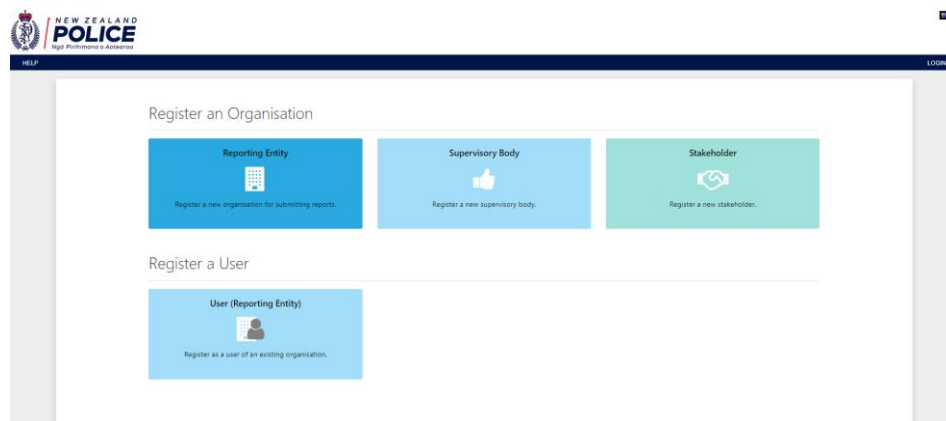
The following instructions will guide you through the process to register your entity on goAML Web.

The person who registers on behalf of the reporting entity will automatically be assigned administrator rights. Therefore, it is recommended that the AML/CFT Compliance Officer or Manager, be the person registering on behalf of the reporting entity. However, other approved users of goAML can be updated at any time and assigned to another person within the business.

To start the registration process, please visit:

<https://fiu.police.govt.nz/Content/#/register>

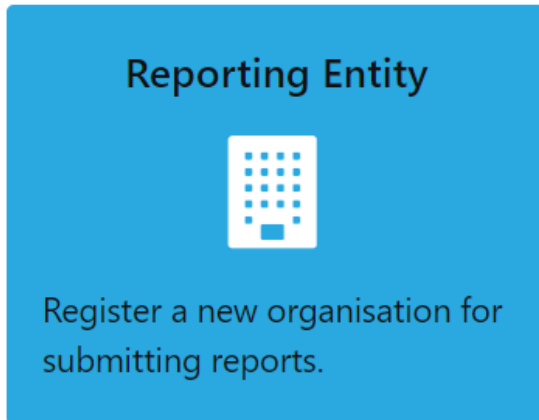
[The following web page will be displayed](#)



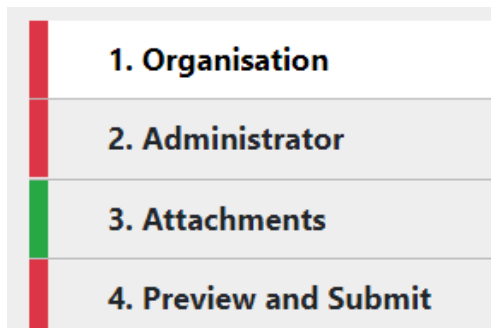
The registration page is divided into two sections: Register an Organisation and Register a User.

Register

Click on reporting an entity (see icon below)



You will note in the top left-hand corner that there are 4 steps that need to be worked through to register your organisation. These must be completed in the order listed.



The first step is to register your organisation.

This section contains both mandatory and optional fields. The mandatory fields must be completed before moving to the next section. Mandatory fields are highlighted in red. Optional fields are not required to be completed to finish the registration. However, it is best practice to complete these fields (where applicable) and provide all the reporting entity's details on goAML Web. Optional fields are highlighted in 'red' in the images shown below.

HELP LOGIN

1. Organisation

2. Administrator

3. Attachments

4. Preview and Submit

Cannot submit until the form is complete

Cancel

Organisation

Organization Business Type is required!

Name is required!

acronym is required!

Email is required!

is financial

Swift/Bic

Incorp. Num

Commercial Name

Incorporation Legal Form

Incorp. City

Incorp. State

Incorp. Country

Name of holding company

Contact Person is required!

URL

+ Addresses*

Type is required!

Address is required!

DO NOT USE

City is required!

Postcode

Country

Suburb

Comments

+ Phones*

Contact Type is required!

Comm. Type is required!

Country Prefix

Area Code + Number is required!

Extension

Comments

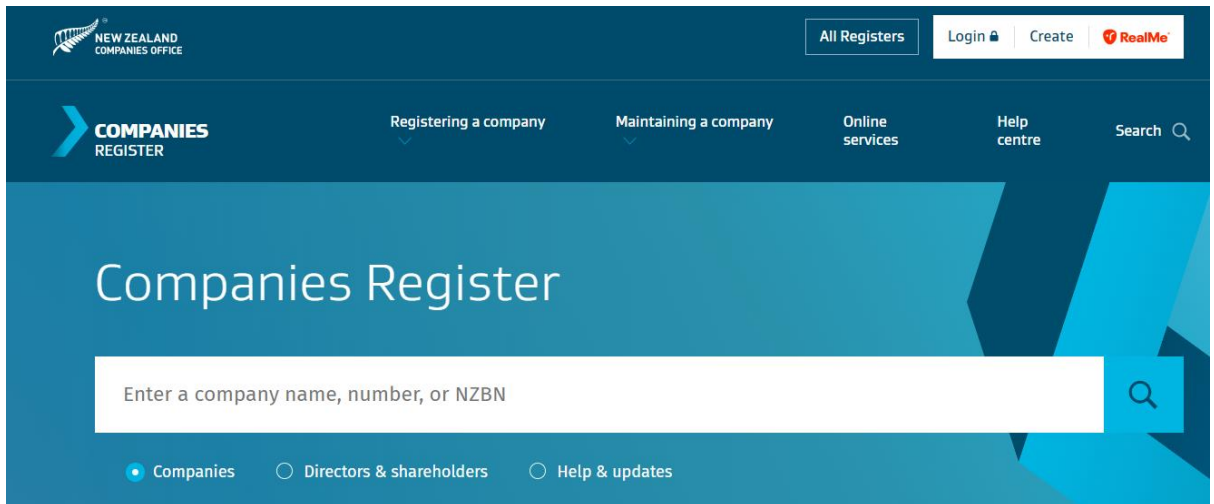
Mandatory fields:

- Organisation Business Type: Select your organisation's business type by clicking on the drop down box (refer to Appendix A for a list of options).
- Name: Enter the legal name of the business (e.g. ABC Limited, rather than ABC).
- Acronym: Enter an appropriate acronym for the name of the business (e.g. ABC Limited's acronym could be ABC. It is up to you to enter an appropriate acronym for the business).
- Email: Enter the email address of the contact person in the business.
- Contact person: enter the name of the contact person for your organisation.

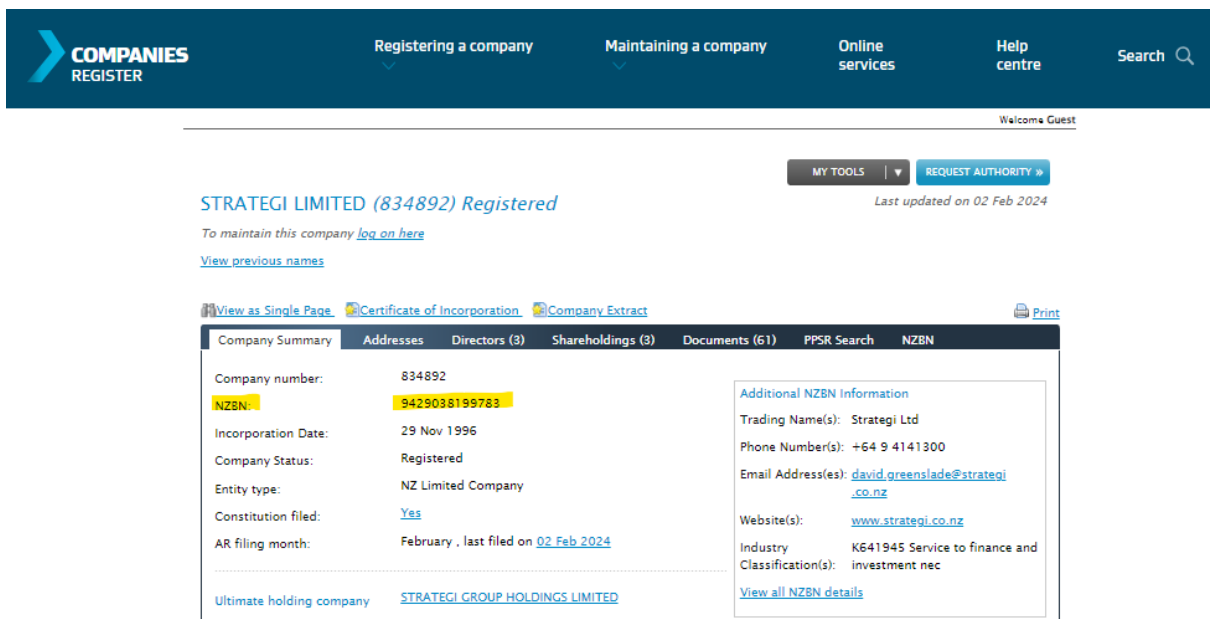
Optional fields:

- Swift/Bic: This code is only applicable to banks and hence, simply enter 'N/A'.
- Contact person: Enter the name of the AML/CFT Compliance Officer or the Manager. This field is not mandatory at present but is likely to become mandatory in the near future. While anyone within the business can be the contact person, it is recommended the AML/CFT Compliance Officer or the Manager be made the contact person within the business.
- Incorporation Number: Enter the New Zealand Business Number (NZBN) of the business. The NZBN can be found on the Companies Office website. To find out the NZBN of your business, visit <https://companies-register.companiesoffice.govt.nz> and type the name of your business

in the box 'Enter a company name, number, or NZBN' and click 'Search', see an example below.



The NZBN is highlighted in 'yellow' in the image below (this is an example only and you need to enter your company's details in order to find your company's NZBN).



- Commercial Name: If applicable, enter the trading name of your business, otherwise leave blank.
- Incorporation Legal Form: Enter the incorporated legal form of the business (refer to Appendix B for a list of various legal forms a business may take. You are most likely to be a 'limited liability company' or a 'sole proprietorship').
- Incorporation City: Enter the city where the business was incorporated.

- Incorporate State: New Zealand does not have states, therefore enter 'N/A'.
- Incorporated Country: Select 'New Zealand' by clicking on the drop-down box.
- Name of holding company: If applicable, enter the name of the holding company, otherwise leave blank.
- URL: This is your company's website address. Enter the URL link to the entity's website. For example, Strategi's URL is highlighted in 'yellow' as shown in the image below.



Once the above fields are completed, move onto completing the Phones* section, this is displayed below.

+ Phones*

▼ #1

Contact Type is required! Comm. Type is required! Country Prefix Area Code + Number is requi...

Extension Comments


- Phones:

Mandatory fields:

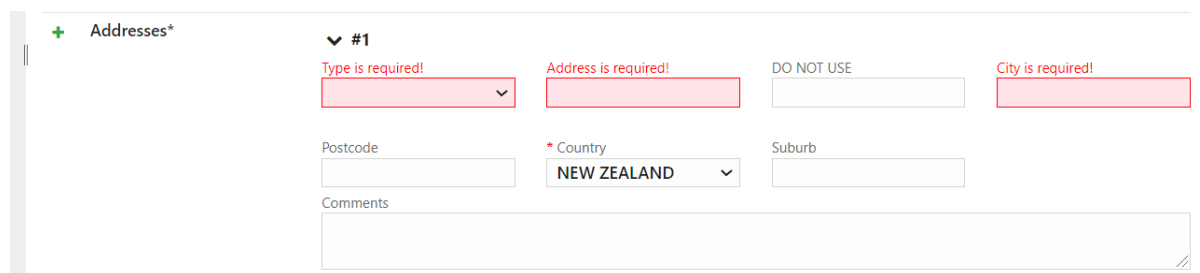
- Contact Type: Select the appropriate option by clicking on the drop-down box (refer to Appendix C for the list of options).
- Communication Type: Select the appropriate option by clicking on the drop-down box (refer to Appendix D for the list of options).
- Area Code + Number: Enter the area code (e.g. Auckland's area code is 09) as well as the phone number of the business.

Optional fields:

- Country Prefix: Enter the country prefix where your business phone line is located (e.g. New Zealand's country prefix is 64).
- Extension: If applicable, enter the extension number, otherwise leave blank.
- Comments: Leave this field blank.

You can provide more than one phone number by clicking on the  sign next to 'Phones' and following the same steps described above.

Next, move onto completing the address section as shown below.




- Addresses:

Mandatory fields:

- Type: Select the appropriate option by clicking on the drop-down box
- Address: Enter the address of the business.
- City: Enter the city.
- Country: Select 'New Zealand' is prepopulated for you.

Optional fields:

- DO NOT USE: Leave this field blank.
- Postcode: Enter the post code.
- Suburb: Enter the suburb.
- Comments: Leave this field blank.

You can provide more than one Address if required by clicking on the  sign next to 'Addresses' and following the same steps described above.

Information added to each section will be auto saved as you move through the form.

The next step is to now move to the next section 'Administrator' which is done by clicking on 2. Administrator section as shown below.

Administrator

2. Administrator

The following page will be displayed

Administrator

User Name is required! <input type="text"/>	Password is required! <input type="password"/>	Confirm Password is required! <input type="password"/>	Title <input type="text"/>
First Name is required! <input type="text"/>	Last Name is required! <input type="text"/>	Email is required! <input type="text"/>	Gender <input type="text"/>
Birth Date d/MM/yyyy <input type="text"/>	DO NOT USE <input type="text"/>	Nationality <input type="text"/>	Occupation <input type="text"/>
NZDL <input type="text"/>	Passport Number <input type="text"/>	Passport Country <input type="text"/>	

+ Addresses*

▼ #1

Type is required! <input type="text"/>	Address is required! <input type="text"/>	DO NOT USE <input type="text"/>	City is required! <input type="text"/>
Postcode <input type="text"/>	* Country NEW ZEALAND <input type="text"/>	Suburb <input type="text"/>	
Comments <input type="text"/>			

+ Phones*

▼ #1

Contact Type is required! <input type="text"/>	Comm. Type is required! <input type="text"/>	Country Prefix <input type="text"/>	Area Code + Number is requi... <input type="text"/>
Extension <input type="text"/>	Comments <input type="text"/>		

Mandatory fields:

- User Name: Enter the user name you wish to use when you log in. When selecting a user name, it is recommended to select a generic user name that is easy to remember. This is the username that will be used when logging into goAML Web.
- Email: Enter your work e-mail address. Once the registration is completed, confirmation of the registration will be sent to this email address. This email address will also be used to notify you of messages sent to you from the goAML Web secure message board.
- Password: Enter a password for use when you log in. Please use a strong password and do not disclose this password to anyone. Passwords must be between 5 and 10 characters. (Tip: Choose a password with a combination of upper and lower case letters, numbers and keyboard symbols such as @\$%^&*()_+).
- Confirm Password: Re-enter the password previously entered.
- First Name: Enter your first name.

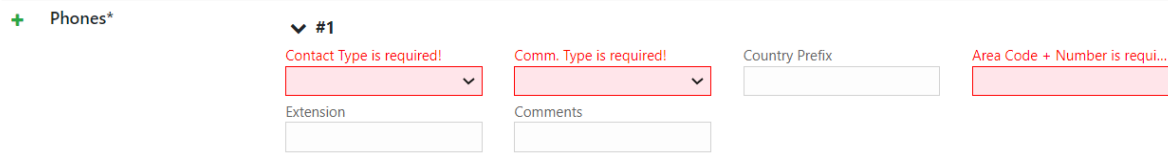
- Last Name: Enter your last name.

Optional fields:

- Gender: Select your gender by clicking on the drop-down box. The options are 'Male' and 'Female' or 'other'.
- Title: Enter your title (e.g. Mr, Ms, Dr, etc).
- Birth date: Enter your date of birth.
- Nationality: Select your nationality by clicking on the drop-down box.
- Occupation: Enter your occupation within the business.
- NZDL: Enter your New Zealand Driver Licence number if applicable, otherwise leave blank.
- Passport: If providing your passport details, then click 'Yes' and provide your passport number and the country of issue.

Administrator phones

Once the above fields are completed, move onto completing the administrator Phones* section as shown below.



+ Phones*

▼ #1

Contact Type is required! Comm. Type is required! Country Prefix Area Code + Number is requi...

Extension Comments


- Phones:

Mandatory fields:

- Contact type: Select the appropriate option by clicking on the drop-down box (refer to Appendix C for the list of options).
- Communication type: Select the appropriate option by clicking on the drop-down box (refer to appendix D for the list of options).
- Area Code + Number: Enter the area code (e.g. Auckland's area code is 09) as well as your phone number.

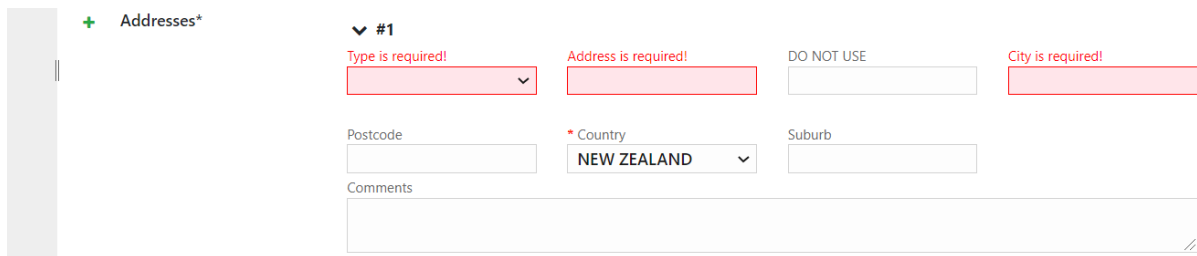
Optional fields:

- Country prefix: Enter the country prefix where your business is located (e.g. New Zealand's country prefix is 64).
- Extension: If applicable, enter the extension number, otherwise leave blank.
- Comments: Leave this field blank.

You can provide more than one phone number by clicking on the  sign next to 'Phones' and following the same steps described above.

Administrator addresses

Once the above fields are completed, move onto completing the administrator addresses* section as shown below.




- Addresses:

Mandatory fields:

- Type: Select the type of address by clicking on the drop-down arrow (refer to Appendix A for a list of address types).
- Address: Enter your address.
- City: Enter the city.
- Country: Enter the country.

Optional fields:

- DO NOT USE: Leave this field blank.
- Postcode: Enter the post code.
- Suburb: Enter the suburb.
- Comments: Leave this field blank.
- You can provide more than one address by clicking on the  sign next to 'Addresses' and following the same steps described above.

After completing the 'Administrator' section, you can move to the next section, 'Attachments', again this is accessed by clicking the attachments sections on the upper left-hand area of the screen as shown below.

3. Attachments

Attachments

This section is not mandatory at the time of registering on the goAML Web and does not need to be completed to complete the registration.

This section can be used to attach any document by clicking on 'Choose File', selecting the document from your file directory, and finally clicking on 'Upload' once you have selected the file you would like to upload. See below for an example from goAML Web.

Attachments		
File Name	File Size	
BankTransactions - April 2013.xls	257024	✗
Bank Transactions_2.xls	241152	✗
Bank Transactions_1.xls	241152	✗

No file selected.

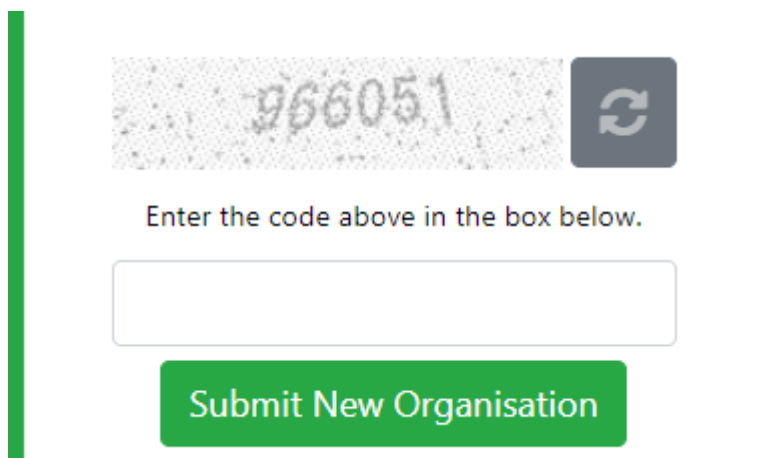
After completing the previous sections ('Organisation', 'Administrator' and 'Attachments'), click onto the preview and Submit Icon as shown below.

Preview and Submit

4. Preview and Submit

All information previously entered will be displayed. Preview the data, if there are errors update with the correct information, then return to the Preview and Submit page. If there are no errors

enter the CAPTCHA code into the blank field as shown below, and select 'Submit New Organisation' (the CAPTCHA code can be changed if you click on the refresh button (the arrow forming a circle) on the right-hand side of the text box).



966051

Enter the code above in the box below.

Submit New Organisation

Once the application is submitted, an automatic email notification will be received from goAML Web, with a reference number (to track the application), to the email address provided by the person registering on behalf of the reporting entity.

Once the reporting entity is registered, a registration confirmation email will be sent by the FIU.

For more information contact:

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Appendix A:

Organisation Business Type:

- | | |
|-----------------------------------|--|
| 1. Accountant or Bookkeeper | 25. Life Insurer |
| 2. Bank | 26. Managed Investment Scheme
Manager |
| 3. Broker or Custodian | 27. Money Services Business |
| 4. Building Society | 28. NBNDTL |
| 5. Cash Transport | 29. Nominee Service Provider |
| 6. Casino | 30. Non-Bank Credit Card |
| 7. Charitable Trust | 31. Non-Bank Deposit Taker |
| 8. Collective Investment Scheme | 32. Payment Provider |
| 9. Credit Unions | 33. Payroll |
| 10. Crypto Currency | 34. Peer to Peer Lending provider |
| 11. DIMS | 35. Real Estate |
| 12. Debt Collection | 36. Remittance |
| 13. Derivatives Issuer | 37. Safe Deposit |
| 14. Equity Crowd funding platform | 38. Securities Dealer |
| 15. Factorings | 39. Stakeholder |
| 16. Finance Company | 40. Stored Value Card |
| 17. Financial Adviser | 41. Supervisory Body |
| 18. Financial Leasing | 42. TCSP |
| 19. Foreign Exchange | 43. Tax Pooling |
| 20. High Value Dealer | 44. Trust & Loan Company |
| 21. Investment Company | 45. Trustee Corporation |
| 22. Issuer of Securities | 46. Wager and Gaming Services |
| 23. Law Firm | |
| 24. Licenced Supervisor | |

Appendix B:

Incorporation Legal Form:

1. Aktiengesellschaft (AG)
2. Company
3. Corporation
4. General Partnership
5. GmbH
6. Incorporated
7. Limited
8. Limited Liability Company
9. Limited Liability Partnership
10. Limited Partnership
11. Look Through Company
12. Other
13. Partnership
14. Private Limited Company
15. Proprietary Limited Company
16. Public Limited Company

17. Sociedad Anonima (S.A.)
18. Societas Europaea (S.E.)
19. Sole Proprietorship
20. Trust
21. Unknown
22. Unlimited
23. Unlimited Proprietary

Appendix C:

Contact Type:

1. Branch Address (this may apply to all entity types with branch locations)
2. Business address

Appendix D:

Comm. Type:

1. Fax
2. Landline phone
3. Mobile phone
4. Other
5. Pager
6. Satellite phone
7. Unknown