

## Individual / Joint Name Application Form

This is an application to invest in the Generate Managed Funds Scheme. For help completing this form, please phone **0800 855 322**.

**Note: For Individual / Joint Name account applications there is a minimum initial investment of \$1,000 per account, at Manager's discretion.**

### Investor 1 Details (Primary account holder) (Please write in capital letters)

Title \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_

Surname \_\_\_\_\_ Preferred First Name \_\_\_\_\_

Date of Birth 

D	D	M	M	Y	Y	Y	Y
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Mobile \_\_\_\_\_ Daytime Phone \_\_\_\_\_

**Email** (important) \_\_\_\_\_

Residential Address \_\_\_\_\_

Postal Address \_\_\_\_\_

Suburb \_\_\_\_\_ City \_\_\_\_\_ Postcode \_\_\_\_\_

### NZ Tax Residency

Are you a tax resident of New Zealand?  Yes  No

IRD No.\* 

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If you don't know your IRD number go to [www.ird.govt.nz/tasks/find-my-ird-number](http://www.ird.govt.nz/tasks/find-my-ird-number) or contact IRD on 0800 227 774

\* For New Zealand tax residents, Generate requires a valid IRD number to establish the account.

### Prescribed Investor Rate ('PIR')

10.5%  17.5%  28%

To determine your PIR you can go to [www.ird.govt.nz/roles/portfolio-investment-entities/find-my-prescribed-investor-rate](http://www.ird.govt.nz/roles/portfolio-investment-entities/find-my-prescribed-investor-rate) or contact the IRD on 0800227774. If you are unsure of your PIR we recommend you seek professional advice. If a PIR is not selected a 28% PIR will apply.

### Foreign Tax Residency

Are you a US citizen or US tax resident?  Yes  No If yes then complete IRD W9 form, available on request or online at the IRS website

Are you a tax resident in any other country (other than the US or NZ)?  Yes  No

If you answered 'Yes' to either of the above questions please list all countries below and provide the Tax Identification Number ('TIN') for each country.

**Country of Tax Residence** \_\_\_\_\_ **TIN (or reason why TIN was unable to be obtained, see list)** \_\_\_\_\_

_____	_____	<b>Reason for not supplying TIN</b> <b>1</b> Country doesn't issue TIN <b>2</b> Country doesn't require TIN collection <b>3</b> Cannot obtain TIN
_____	_____	
_____	_____	

For further information on your personal tax residency status please see <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency> or speak to a tax adviser.

### Investor Identification

If you agree to Electronic Identity Verification please tick the box below. If you do not agree please follow the instructions on page 4.

#### Electronic Identity Verification and Proof of Address

Generate can confirm the identity and/or New Zealand address of many of our clients electronically, with their permission. Please note that we use an external third party system not owned by Generate to conduct identity checks in this way.

I confirm that I give Generate authority to check my identity and/or address electronically using the documentation provided.

**I have included a copy of my current signed NZ Passport (preferred) or NZ Driver Licence (front & back)**

**Please note, if we are unable to identify you using this method, we will contact you to provide physical documents as per page 4.**

# Generate Managed Funds

## Individual / Joint Name Application Form

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### Investor 2 Details (Please write in capital letters)

Title \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_

Surname \_\_\_\_\_ Preferred First Name \_\_\_\_\_

Date of Birth

Mobile \_\_\_\_\_ Daytime Phone \_\_\_\_\_

**Email** (important) \_\_\_\_\_

Residential Address \_\_\_\_\_

Postal Address \_\_\_\_\_

Suburb \_\_\_\_\_ City \_\_\_\_\_ Postcode \_\_\_\_\_

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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Reason for not supplying TIN**  
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# Generate Managed Funds

## Individual / Joint Name Application Form

This is an application to invest in the Generate Managed Funds Scheme. For help completing this form, please phone **0800 855 322**.

### Managed Fund selection

You may choose to invest in one fund or you can choose to invest a percentage in two or three funds. Please see section 3 of the Product Disclosure Statement for more details.

<input type="checkbox"/> Focused Growth	_____ %
<input type="checkbox"/> Balanced	_____ %
<input type="checkbox"/> Conservative	_____ %
Total (must add to 100%)	100%

### Investment Details (Please write in capital letters)

#### Source of Funds/Wealth

Please tell us the original source of the funds you are investing with us. You may need to supply proof of the source of funds such as sale and purchase agreement, payslips, legal documentation.

<input type="checkbox"/> Inheritance	<input type="checkbox"/> Matured Investment	<input type="checkbox"/> Asset/Business/Property sale	<input type="checkbox"/> Personal/Business income
<input type="checkbox"/> Accumulated savings	<input type="checkbox"/> Superannuation	<input type="checkbox"/> Other	

Please provide further details and certified verification of the source of funds. For example, XYZ Ltd sold for \$500,000 on 01/01/2018.

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Primary purpose of investment:

<input type="checkbox"/> Returns on investment	<input type="checkbox"/> Diversification of current portfolio
<input type="checkbox"/> Other (please specify)	_____

How do you intend to transact on this account? (Please select all that apply).

**Deposits:**  Lump Sum (one off) \$ \_\_\_\_\_  
 Regular\*\* \$ \_\_\_\_\_ Frequency:  Weekly  Fortnightly  Monthly

**Withdrawals:**  Lump Sum (one off)  Regular  Now and then

Note: The minimum **Initial** Investment amount is \$1,000\* and the minimum **Regular** Investment amount is \$100\*.

\* At Manager's discretion. \*\* For regular investment contributions we will contact you to set up a direct debit payment schedule.

#### Payment Details and Process

**Please note your account must be established with Generate before we can accept any funds for investment.**

Once your account has been setup we will contact you with the appropriate bank account details and references for you to make a direct credit payment from your specified bank account provided below.

### Bank Account Details

Please provide us with a New Zealand bank account and proof of these details.

Account Holder Name (in the same name as your Generate Managed Funds account)

Account Number

Bank \_\_\_\_\_ Branch \_\_\_\_\_

#### Proof of bank account

Please provide proof of your bank account name and number by supplying any one of the following:

- a pre-coded deposit slip
- a copy of a bank statement dated within the last 12 months
- an over-the-counter printed receipt with a tellers stamp
- an online bank account statement with the name of the bank in the header/footer
- Bank correspondence with the account name and account number, dated within the last 12 months

## Individual / Joint Name Application Form

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### Politically Exposed Persons (Please write in capital letters)

Is any Applicant(s) either:

- an individual who holds, or has held at any time in the preceding 12 months, a prominent public function in any country (other than New Zealand); or
- an immediate family member of a person referred to above, including a spouse, partner, child, child's spouse/partner or a parent.

Yes  No If 'Yes', please provide details of the public function held and the country:

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### Identity and Proof of Address Documents (Non Electronic Identity Verification)

**If you have opted not to use Electronic Identity Verification or did not pass this system check then you will need to provide the following documentation:**

Please provide a certified photocopy of each document:

- The documents can be verified by a Generate employee or certified by a Trusted Referee as described below.
- These documents cannot be scanned to us (we need the copy that has been physically certified).
- **Please do not send in original versions of your identity documents.**

#### OPTION 1

- Passport; or
- New Zealand Firearms Licence.

#### OPTION 2

- New Zealand Drivers Licence (front and back)

In combination with the following:

- Birth certificate; or
- Bank statement, dated within the last 12 months; or
- Government agency letter, dated within the last 12 months (eg. IRD, Work & income, Electoral Commission); or
- Valid credit of debit card with name embossed & signature.

Choose one of the acceptable forms of **proof of address** for applicant's residential address (not a PO Box) by sending us a copy of an invoice, statement, letter or contract in applicant's name, dated within the **last 12 months**, from one of the following sources:

- Utility provider e.g. water, electricity, gas, telecommunications, Sky TV (or other fixed address media provider)
- Government or local Government agency e.g. IRD, benefits statement, Council notice
- NZ Bank correspondence
- Car registration notification/demand
- Non-Generate KiwiSaver correspondence
- Insurance company (car, house, contents)

If you do not have one of the above forms then please provide a copy of an invoice, statement, letter or contract in applicant's name, dated within the **last 3 months**, from one of the following sources:

- Non-bank, non-KiwiSaver financial institution
- Insurance company (health, life)
- Rental tenancy agreement

### Certification of your Documents

Provide certified copies of identity documents and proof of address (which is not required to be certified).

**An employee or agent of Generate can verify original documents by sighting the original documents and then making the following statement "I verify that the attached documents are true copies of the original documents and that they represent the identity of [full name of the person being identified]"**

- Certification must be within the last three months.
- Any birth certificates that have been issued before 2003 should be certified or verified.
- The approved person cannot be your spouse, partner, relative or living at the same address as you.
- The approved person could be: a JP; Chartered Accountant; Lawyer; Police Officer; Registered Teacher; Registered Doctor or any other person who has legal authority to take statutory declarations in New Zealand.
- Upon comparing the copy with the original document, the approved person must write on the copy their name, occupation, their signature, the date and the following, "I certify this to be a true copy of the original document and confirm that it represents the identity of [full name of person being identified]"

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### Privacy Statement

Generate Investment Management Limited (or Generate group companies), Public Trust, any of their authorised agents, and any distributor (each an "Authorised Person") may collect personal information that you provide to us. Generate will (or through MMC New Zealand Limited will) hold the information securely. Your information will be used by Generate and the Supervisor to manage your relationship with Generate and the Supervisor, to provide products and services to you, to comply with any applicable laws, to offer you further products and services that may be of interest to you and for any other use for which you have given authorisation. We may also disclose your personal information for these purposes to our staff members, related companies, our third party service providers and to the Financial Markets Authority or other applicable regulators.

Generate may further use your information to electronically verify your details and your information may also be disclosed for these purposes to third parties where Generate have further contracted to carry out the verification process.

If you contact us or we contact you, we may keep a record of that contact. We may also monitor and record calls you make to us and we make to you. You may request the information held about you, and if any of the information is incorrect, ask for it to be corrected. You can do this by contacting us by email or call us on 0800 855 322.

### Electronic Provision of Information

I/We consent to receiving any communication from Generate or any related affiliates (e.g. Supervisor, Administrator or companies within the Generate group) electronically via Generate's online portal, or at the email address provided in this Application Form or direct to Generate.

### Declaration

I/We wish to apply for units in the Scheme. I/We confirm that I/we have received, read and understood the current Generate Unit Trust (Managed Funds) Scheme Product Disclosure Statement dated 16 May 2022 and agree to be bound by the terms and conditions set out in the Product Disclosure Statement and Trust Deed governing the Scheme. I/We understand that if a transaction request is invalid or insufficient information is provided, it will not be processed until valid documentation is received.

I/We understand that neither Generate nor the Supervisor has represented or implied that any particular fund or investment strategy is appropriate for my/our particular circumstances. I/We understand that investments in the Scheme are subject to investment risk and that the value of my/our investment may rise and fall from time to time. I/We understand that the distributor through which I/we joined the Scheme (if applicable) may be remunerated by the Manager for distributing the Scheme. I/We acknowledge that none of Generate, the Supervisor and any distributor through which I/we joined the Scheme will be liable to me/us for any loss as a consequence of them accepting or acting on instructions from me/us or an authorised signatory in respect of my/our investment in the Scheme (and that none of Generate, the Supervisor, or any other person guarantees the performance of the Scheme or the repayment of any money payable from the Scheme).

I/We confirm that all of the information in this application form is true and correct. I/We agree to notify Generate immediately if there is any change in the information given in this application form.

By signing this Application Form I/we consent to receive all forms of information and communication including account information, confirmation information, newsletters, Scheme annual reports, annual statements and annual tax certificates by any form of communication including email or other electronic means.

I/We agree, pursuant to the Unsolicited Electronic Messages Act 2007, that the person sending any such message need not include a functional unsubscribe facility in the message. Telephone calls may be recorded for training purposes or to provide security for transactions by Generate, its related companies or agents.

I/We confirm that I/we have read and I/we accept the 'Declarations' in the above section.

### Signature of Applicant

\_\_\_\_\_ Date Signed \_\_\_\_\_

### Signature of Applicant (if relevant)

\_\_\_\_\_ Date Signed \_\_\_\_\_

### Adviser Information (Internal Use Only)

Opportunity Number

Name of Adviser

Adviser Code

Adviser Group Code

### Verification of Identity

I verify that the attached documents are true copies of the original documents and that they represent the identity of:

Applicant's Name \_\_\_\_\_ Signed \_\_\_\_\_ Date of Verification \_\_\_\_\_

Applicant's Name \_\_\_\_\_ Signed \_\_\_\_\_ Date of Verification \_\_\_\_\_

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### Document Checklist

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Please complete the checklist below and supply all the relevant supporting documents.

- Completed application form for each investor.
- Provide proof of your bank account (Optional, refer to page 3).
- Provide proof of identity by Electronic Identity Verification consent (refer to Investor Details) or certified proof of identity (refer to table on page 4).
- Provide proof of address by Electronic Identity Verification consent (refer to Investor Details) or certified proof of address (refer to table on page 4).
- Complete the Declaration above.

### Where to send your application

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**Email return:** Please scan this application and all supporting documentation and email them to us at [info@generatewealth.co.nz](mailto:info@generatewealth.co.nz) or

**Postal return:** Please send this application and any supporting documentation to:  
Generate Investment Management Limited, PO Box 91609, Victoria Street West, Auckland 1142