

Company / Trust / Partnership or Estate – Redemption or Withdrawal Form

This form is to apply for a redemption or withdrawal from your Generate Unit Trust Scheme account.
For help completing this form, please phone **0800 855 322**.

- We will generally process withdrawals on the next business day after a withdrawal request has been accepted, using the closing unit price of that day. However, up to 10 days’ notice may be required for a large withdrawal.
- There will be no charge to you for making a partial or full withdrawal.
- Payments will only be made to the New Zealand bank account that has been provided with this withdrawal form.

Generate Unit Trust Member Number

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Generate Account Name _____

Your Withdrawal Options (Please write in capital letters)

Reason for withdrawal (e.g. general living expenses, asset purchase, holiday, alternative investment) _____

Please pick one of the following withdrawal options:

- Withdraw all of my savings;
- Withdraw part of my savings (minimum withdrawal of \$500);

Amount \$ _____

Please note, minimum account balance is \$25,000.

Bank Account Details

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

Account Holder Name (preferably in the same name as your Generate Unit Trust client account) _____

Account Number

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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 or a copy of a cheque
- 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

Where do I send my application to?

Email return: Please scan this application and all supporting documentation and email them to us at info@generatewealth.co.nz or

Postal return: Please send this application and any supporting documentation to: Generate Unit Trust Scheme, PO Box 91609, Victoria Street West, Auckland 1142

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Investor Identification **(Please write in capital letters)**

Please be aware Generate requires your identity and proof of address documents to process a withdrawal.

If Generate does not have this documentation on file you will need to provide it.

Who do we need to identify?

- All Trustees
- Executors
- Any other individuals who have influence or control over the Trust or Estate assets (including settlors, appointers, protectors)
- Any other individuals who have influence or control over investment decisions
- Settlers where the sum settled into the Trust was significant
- Any beneficiary in a non-discretionary Trust with greater than 25% interest
- Directors
- Shareholders with greater than 25% shareholding
- Any individuals acting under Power of Attorney

Please complete the identification details section for each individual.

Director / Trustee / Partner / Controlling Person 1 Details **(Please write in capital letters)**

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

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.

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

Director / Trustee / Partner / Controlling Person 2 Details **(Please write in capital letters)**

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

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Director / Trustee / Partner / Controlling Person 3 Details (Please write in capital letters)

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

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Electronic Identity Verification and Proof of Address

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Director / Trustee / Partner / Controlling Person 4 Details (Please write in capital letters)

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

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

Director / Trustee / Partner / Controlling Person 5 Details (Please write in capital letters)

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

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Other Requirements (if not already provided)

Trusts or Estates

- Trust deed, including any amendments
- Certified copy of Probate
- Full name and date of birth of any named beneficiaries of a non-discretionary Trust
- Details and documentation of source of funds or wealth

Company

- List of individuals who are authorised to act on behalf of the company, signed by at least two Directors
- Details and documentation of source of funds or wealth

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

If you have opted not to use Electronic Identity Verification please provide the following documentation

If you did not pass the Electronic Identification Verification check then we will be in contact with you as 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 Drivers Licence; or
- New Zealand Firearms Licence.

OPTION 2

- Birth Certificate; or
- Citizenship Certificate.

AND one of the following:

- HANZ 18+ Card; or
- Tertiary Student Photo ID; or
- Current International Driving Permit; or
- NZ Bank Credit Card with photo.

Choose one of the acceptable forms of **proof of address** for applicant's physical 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)
- New Zealand bank
- Government or local Government agency e.g. IRD, WINZ, Watercare, Council
- Companies Office

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

- Insurance company
- Rental tenancy agreement
- Non-bank financial institution
- Electoral roll papers
- Car registration notification/demand
- Employer provided accommodation letter

Verification of your Documents

Have a Trusted Referee certify copies of all ID and proof of address.

An employee or agent of Generate can verify documents.

- Certification must be within the last three months.
- The Trusted Referee cannot be your spouse, partner, relative or living at the same address as you.
- The Trusted Referee could be: an employee or agent of Generate; 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.

Declaration

I solemnly and sincerely declare that:

- I am applying to withdraw or transfer some or all of my Unit Trust savings from my Generate Unit Trust Scheme account. I agree to release all claims that have been made by me on the Manager and/or Trustee in relation to the Generate Unit Trust Scheme.
- I understand that my withdrawal value will or might fluctuate based on the unit price(s) which applies when the withdrawal is processed and that fees, taxes and expenses may be deducted from my Generate Unit Trust Scheme account.
- The information given in this form is true and correct. I acknowledge that the Manager and the Trustee of the Generate Unit Trust Scheme will rely on information provided in (or in connection with) this form and accordingly agree to indemnify them against and claims, liability, losses, damages, costs and expenses whatsoever which may arise directly or indirectly as a result of any information provided in (or in connection with) this form being untrue or misleading (including omission).
- I understand that the Manager and/or Trustee of the Generate Unit Trust Scheme will not be able to complete its assessment of this application if the information given in this form is incomplete or incorrect.
- I understand the information supplied by me with this application can be used to electronically verify my identity and address (where necessary) and may be disclosed for these purposes to third parties where relevant including a government agency or reliable, independent source.
- I have read the privacy statement in this form.

I, trustee/executor/director/partner of (name of trust/estate/company/partnership) ("the entity") confirm the entity has not changed since the last transaction with Generate OR if the entity has been amended; a copy of any amendments is attached to this withdrawal form.

I will immediately advise Generate of any changes, variations or amendments to the entity which affects the trustees/executors/directors/partners powers of investment. I will immediately advise Generate of any changes to the trustee(s)/executor(s)/director(s)/partner(s) of the entity.

The below named trustee(s)/executor(s)/director(s)/partner(s) are validly appointed as trustees/executors/directors/partner of the entity and remain(s) trustee(s)/executor(s)/director(s)/partner(s) of the entity and have signing authority to act on behalf of the entity.

I make this solemn declaration conscientiously believing the same to be true and by the virtue of the Oaths and Declarations Act 1957.

Signature of Director / Trustee / Partner / Controlling Person 1

_____ Date Signed _____

Signature of Director / Trustee / Partner / Controlling Person 2 (if relevant)

_____ Date Signed _____

Signature of Director / Trustee / Partner / Controlling Person 3 (if relevant)

_____ Date Signed _____

Signature of Director / Trustee / Partner / Controlling Person 4 (if relevant)

_____ Date Signed _____

Signature of Director / Trustee / Partner / Controlling Person 5 (if relevant)

_____ Date Signed _____

Document Checklist

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

- Complete redemption / withdrawal form.
- Provide proof of your bank account (refer to page 1).
- Provide proof of identity by Electronic Identity Verification consent and documents or certified proof of identity (refer to pages 2 and 3).
- Provide proof of address by Electronic Identity Verification consent and documents or certified proof of address (refer to pages 2 and 3).
- Provide documentation as per Other Requirements (refer to page 4).