

# Individual / Joint Name Application Form

This is an application to invest in the Generate Unit Trust Scheme (Scheme). For help completing this form, please phone **0800 855 322**.

## Investor 1 Details (Primary account holder) (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 \_\_\_\_\_

### NZ Tax Residency

Are you a tax resident of New Zealand?  Yes  No

IRD No.\*

If you don't know your IRD number, please call the 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 go to [www.generatewealth.co.nz/whats-my-pir](http://www.generatewealth.co.nz/whats-my-pir). If you are unsure of your PIR, we recommend you seek professional advice or contact Inland Revenue. 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

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)** \_\_\_\_\_

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

- Reason for not supplying TIN**
- 1** Country doesn't issue TIN
  - 2** Country doesn't require TIN collection
  - 3** 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.

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

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## Investor 2 Details (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 \_\_\_\_\_

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

Country of Tax Residence	TIN (or reason why TIN was unable to be obtained, see list)	Reason for not supplying TIN
_____	_____	<b>1</b> Country doesn't issue TIN
_____	_____	<b>2</b> Country doesn't require TIN collection
_____	_____	<b>3</b> Applied for TIN and will provide soon
_____	_____	<b>4</b> Cannot obtain TIN

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### 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.

Inheritance    Property sale    Asset/Business sale    Personal income    Accumulated savings    Superannuation    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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### Generate 'Focused Growth Trust' Investment Details

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

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

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

Initial Investment Amount (\$2,000 min.) \$ \_\_\_\_\_ Regular Investment Amount\* (\$100 min.) \$ \_\_\_\_\_

\* 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.**

**Electronic:** 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.

**Cheque:** Please make your cheque payable to 'Public Trust ASF Generate Unit Trust Scheme – Applications' and cross it 'not transferable'. Please note funds will only be applied to your account once the cheque has cleared. If you wish to make a payment by cheque then you can attach this when you post us the completed application form and supplementary documentation.

### Bank Account Details (Optional – for withdrawal purposes)

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  

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

## Individual / Joint Name Application Form

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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	OPTION 2
<input type="checkbox"/> Passport; or <input type="checkbox"/> New Zealand Drivers Licence; or <input type="checkbox"/> New Zealand Firearms Licence.	<input type="checkbox"/> Birth Certificate; or <input type="checkbox"/> 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:

- |   |   |
|---|---|
| <input type="checkbox"/> Insurance company              | <input type="checkbox"/> Electoral roll papers                  |
| <input type="checkbox"/> Rental tenancy agreement       | <input type="checkbox"/> Car registration notification/demand   |
| <input type="checkbox"/> Non-bank financial institution | <input type="checkbox"/> 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]"

## Individual / Joint Name Application Form

This is an application to invest in the Generate Unit Trust Scheme (Scheme). For help completing this form, please phone **0800 855 322**.

### Privacy Act

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Generate Investment Management Limited, Public Trust, any of their authorised agents, and any distributor assisting with the application (each an "Authorised Person") may collect personal information about the unitholder and beneficial owners/person acting on behalf provided in connection with this application or the Scheme. Each Authorised Person will (or through MMC Limited will) hold the information securely and may use the personal information to manage the unitholder's investment in the Scheme, to communicate with the unitholder or to promote other products and services to the unitholder. The unitholder may ask that they be shown the information held about the unitholder, and if any of the information is incorrect, ask for it to be corrected. The addresses for Generate Investment Management Limited, Public Trust and MMC Limited are set out in the Generate Product Disclosure Statement. Under New Zealand law Generate must collect information about your tax residency status. Generate must provide your information (even if you refuse to give information or a declaration) to Inland Revenue, who may share that information with overseas tax authorities under international agreements.

### Electronic Provision of Information

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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

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I wish to apply for units in the Scheme. I confirm that I have received, read and understood the current Generate Unit Trust Scheme Product Disclosure Statement dated 3 October 2019 and agree to be bound by the terms and conditions set out in the Product Disclosure Statement and Trust Deed governing the Scheme. I understand that if a transaction request is invalid or insufficient information is provided, it will not be processed until valid documentation is received.

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

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

By signing this Application Form I 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 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 the Manager, its related companies or agents.

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

#### Signature of Applicant

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

#### Signature of Applicant (if relevant)

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

### 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 do I send my application to?

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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 Unit Trust Scheme, PO Box 91609, Victoria Street West, Auckland 1142