Lump Sum Individual / Joint Investment Form

Please upload this completed form via the Generate App or email to info@generatewealth.co.nz.
If you would like help completing this form, please phone us on 0800 855 322.

Use this form to make a lump sum Investment to your Generate Managed Fund account.

Generate Managed Funds Investor Number | G | M | F | | | | | | |

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

Title ______ First Name ______ Surname ______

Date of Birth | D | D | M | M | Y | Y | Y | Y |

IRD No. | | | | | | | | | |

If you don't know your IRD number, please call the IRD on 0800 227 774
or visit ird.govt.nz/tasks/find-my-ird-number

Residential Address ______

City ______ Country ______ Postcode ______

Mobile ______ Email ______

Investor 2 Details (if Joint account holder) **(Please write in capital letters)**

Title ______ First Name ______ Surname ______

Date of Birth | D | D | M | M | Y | Y | Y | Y |

IRD No. | | | | | | | | | |

If you don't know your IRD number, please call the IRD on 0800 227 774
or visit ird.govt.nz/tasks/find-my-ird-number

Residential Address ______

City ______ Country ______ Postcode ______

Mobile ______ Email ______

Where do I send my application to?

Via the app: Simply login to your app and upload your application and all supporting documentation for processing **or**
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 Investment Management Limited, PO Box 91609, Victoria Street West, Auckland 1142

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Lump Sum Investment

☐ I/We intend to deposit ☐ I/We have deposited $ ____________ into Generate's Managed Fund bank account.

Please invest this deposit either:

☐ as per our current investment election

☐ as per the following:

☐ CashPlus	%	☐ Focused Growth	%
☐ Conservative	%	☐ Australasian	%
☐ Fixed Interest	%	☐ Thematic	%
☐ Balanced	%	☐ Global	%
		Total (must add to 100%)	100 %

AML / CFT Requirements

We are required to collect additional information relating to the source and/or wealth of funds under the Anti-Money Laundering and Countering Financing of Terrorism Act 2009.

Investor 1

What is your **current occupation**? If you do not work, please state your position, e.g. retired, student, unemployed. **Do not leave this field blank**.

What annual income bracket applies to you?.

☐ Under $30,000	☐ $30,000 – $40,000	☐ $40,000 – $50,000	☐ $50,000 – $60,000
☐ $60,000 – $70,000	☐ $70,000 – $80,000	☐ $80,000 – $90,000	☐ $90,000 or more

Investor 2 (if joint account holder)

What is your **current occupation**? If you do not work, please state your position, e.g. retired, student, unemployed. **Do not leave this field blank**.

What annual income bracket applies to you?.

☐ Under $30,000	☐ $30,000 – $40,000	☐ $40,000 – $50,000	☐ $50,000 – $60,000
☐ $60,000 – $70,000	☐ $70,000 – $80,000	☐ $80,000 – $90,000	☐ $90,000 or more

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Other Requirements

Please indicate below how you acquired the money you are investing.
Please attach evidence of the source of funds and refer to page 4 for examples of suitable verification of the source of funds.

- ☐ Compensation payment
- ☐ Divorce settlement
- ☐ Gift
- ☐ Inheritance
- ☐ Lottery/betting win
- ☐ Money from existing Trust
- ☐ Policy claim/maturity
- ☐ Salary/bonus
- ☐ Sale of company
- ☐ Sale of investments
- ☐ Sale of property
- ☐ Savings
- ☐ Other (please provide details below)

Acknowledgement

I/We understand that this voluntary contribution to our managed fund account balance will be:

- invested in the investment option(s) I/we have selected (if applicable);
- the contributions will be allocated the following business day after funds have been received; and
- please allow 5-7 days for this to appear on your account.

Signature of Primary Applicant

Date Signed

Signature of Joint Applicant

Date Signed

If you have signed electronically, please upload your application via the Generate app, or alternatively provide a valid audit trail if you are emailing the application to us.

Checklist

I/We have:

- ☐ Completed all sections of the form
- ☐ I/We will provide supporting documents to evidence source of funds / wealth. For Verification of Source of Funds please refer to page 4.

You may wish to seek advice from a Generate adviser in choosing an investment strategy.

The information in this form is being collected for the purposes of effectively managing your investment and it will be held by Generate Investment Management Limited. It may be disclosed to third parties to the extent that it is necessary to administer your application and any withdrawals from the Scheme.

You can ask to see the personal information that Generate holds about you by calling us on 0800 855 322.

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Verification of Source of Funds

The following table shows examples of the documents that we may be able to accept as evidence of the source of your funds.

Source of funds	Verification/Evidence (not exhaustive)
Employment (salaries or wages)	One of the following: – Pay slip (or bonus) from the last 3 months – Signed Employment contract – IRD personal tax statement – Bank statements for the last 3 months*
Inheritance	One of the following: – Solicitor's statement relating to funds – Solicitor's letter of undertaking – Will AND bank statement evidencing funds deposited* – Probate AND bank statement evidencing funds deposited* – Letter of administration AND bank statement evidencing funds deposited* – Death Certificate AND bank statement evidencing funds deposited*
Insurance payout	Letter from insurer/other party confirming the payout – clearly showing the following: – the organisation logo – the date and the amount of the payout
Investment maturity	Investment maturity confirmation clearly showing the following: – the organisation logo – the date matured and amount matured AND: Bank statement evidencing funds deposited*
Sale of property	One of the following: – Solicitor's statement relating to funds – Sale and Purchase Agreement signed by all parties AND bank statement evidencing funds deposited* – Solicitors letter of undertaking
Savings	– Bank statements for the last 3 months showing amount saved*

*All bank statements must clearly show the name of the account and bank logo

Example template for Bank statement

ABCBANK

Statement of Account

Mr John Smith
123 Main Street
Sometown
AUCKLAND 1234
New Zealand

Account No: 22-1234-0123456-00
Statement Date: 01/11/2025
Statement No: 712
Page: 1 of 2

Transaction Summary

Date	Transaction Detail	Withdrawals	Deposits	Balance
	Opening Balance			**$1,582.76**
10 September	XYZ Supermarket	$369.34		$1,213.42
11 September	Super Petrol Ltd	$125.00		$1,088.42
14 September	Power Co	$135.22		$953.20
17 September	Active Lawyers		$10,000.00	$10,953.20
22 September	Sorting Goods NZ	$95.99		$10,857.21
24 September	Pretty Florists	$58.25		$10,798.96
	Closing Balance			**$10,798.96**