

Company / Trust / Partnership or Estate Withdrawal Form

If you would like help completing this form, please phone us on 0800 855 322.

This form is to apply for a withdrawal from your Generate Managed Funds account.

- 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.
- Payments will only be made to the New Zealand bank account that is in the same name as your Generate account. We are unable to make payments to a third party bank account.
- The withdrawal value will fluctuate based on the unit price(s) which applies when the withdrawal is processed

Generate Managed Funds Investor Number

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Generate Account Name

Investor Identification

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

We will contact you if this documentation is not already on file.

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 Verification of Identity please tick the box below. If you do not agree please follow the instructions on page 5.

Electronic Verification of Identity and Proof of Address

Generate can confirm the identity and/or address of many of our clients in New Zealand or Australia 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 identification – either a current signed passport or current drivers' licence (front & back) from New Zealand or Australia. Please note, if we are unable to identify you using this method, we will contact you to provide physical documents.

If you use any Australian identification documents, please refer to the Australian legislative requirements on page 5.

Where to send this form

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

Postal return: Please send this completed form and all supporting documentation to:

Generate Investment Management Limited, PO Box 91609, Victoria Street West, Auckland 1142

Company / Trust / Partnership or Estate Withdrawal Form

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

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

If you agree to Electronic Verification of Identity please tick the box below. If you do not agree please follow the instructions on page 5.

Electronic Verification of Identity and Proof of Address

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If you use any Australian identification documents, please refer to the Australian legislative requirements on page 5.

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 Verification of Identity and Proof of Address

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I have included a copy of my identification – either a current signed passport or current drivers' licence (front & back) from New Zealand or Australia. Please note, if we are unable to identify you using this method, we will contact you to provide physical documents.

If you use any Australian identification documents, please refer to the Australian legislative requirements on page 5.

Company / Trust / Partnership or Estate Withdrawal Form

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

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

If you agree to Electronic Verification of Identity please tick the box below. If you do not agree please follow the instructions on page 5.

Electronic Verification of Identity and Proof of Address

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☐ 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 identification – either a current signed passport or current drivers' licence (front & back) from New Zealand or Australia. Please note, if we are unable to identify you using this method, we will contact you to provide physical documents.

If you use any Australian identification documents, please refer to the Australian legislative requirements on page 5.

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

Title _____ First Name _____ Surname _____

Residential Address _____

City _____ Country _____ Postcode _____

Investor Identification

If you agree to Electronic Verification of Identity please tick the box below. If you do not agree please follow the instructions on page 5.

Electronic Verification of Identity and Proof of Address

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☐ 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 identification – either a current signed passport or current drivers' licence (front & back) from New Zealand or Australia. Please note, if we are unable to identify you using this method, we will contact you to provide physical documents.

If you use any Australian identification documents, please refer to the Australian legislative requirements on page 5.

Company / Trust / Partnership or Estate Withdrawal Form

Managed Funds Withdrawal Options (Please write in capital letters)

Reason for withdrawal (e.g. general living expenses, asset purchase, holiday, alternative investment). Please note, we are required to provide a reason for withdrawal.

You may choose to withdraw your savings from any of the funds you are invested in. Please select one of the following withdrawal options:

☐ **Withdraw all** of my savings and close my account;

☐ **Withdraw part** of my savings (minimum withdrawal of \$500);
Please state the dollar amount from each fund you would like to withdraw:

☐ CashPlus	\$
☐ Conservative	\$
☐ Fixed Interest	\$
☐ Balanced	\$

☐ Focused Growth	\$
☐ Australasian	\$
☐ Thematic	\$
☐ Global	\$
Total (minimum \$500)	\$

☐ **Withdraw regularly**, set up a regular facility to withdraw my savings (minimum withdrawal of \$500).
Start date of regular withdrawal _____ **Frequency** ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ Quarterly ☐ Yearly
Please state the dollar amount from each fund you would like to withdraw:

☐ CashPlus	\$
☐ Conservative	\$
☐ Fixed Interest	\$
☐ Balanced	\$

☐ Focused Growth	\$
☐ Australasian	\$
☐ Thematic	\$
☐ Global	\$
Total (minimum \$500)	\$

Please note, minimum account balance is \$5,000. If the withdrawal takes your balance under this amount, then you may be required to close the account. If you have selected to close your account any associated direct debits will automatically be cancelled. For automatic payments, these will need to be cancelled with your bank.

Bank Account Details

☐ Use bank account details on file from the most recent withdrawal

If this is your first withdrawal, or if you would like the payment to be made to a different bank account please complete the details below and provide proof of your bank account name and number, ensuring the bank logo is clearly displayed.
We will only make payments in New Zealand dollars to a New Zealand bank account.
Account Holder Name _____
Account Number

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Bank _____ Branch _____

Proof of bank account

Please provide proof of your bank account, clearly showing the account name and account number, ensuring that the bank logo is included by supplying any one of the following. Any withdrawal requests will be paid into this bank account. We are unable to make payments to third party bank accounts.

- 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

Company / Trust / Partnership or Estate Withdrawal Form

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

Non-Electronic Verification of Identity and Proof of Address

If you have opted not to use Electronic Verification of Identity 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.
- **Please do not send in original versions of your identity documents.**

CERTIFIED COPY OF IDENTIFICATION

OPTION 1

- ☐ Passport; or
- ☐ New Zealand Firearms Licence.

OPTION 2

- ☐ Birth Certificate; or
- ☐ New Zealand Driver Licence; or
- ☐ Citizenship Certificate.

AND one of the following:

- ☐ Kiwi Access Card (18+); or
- ☐ Tertiary Student Photo ID; or
- ☐ Current International Driving Permit; or
- ☐ NZ Bank Credit Card with photo.

CERTIFICATION OF YOUR DOCUMENTS

Provide certified copies of identity documents.

- 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]"**

PROOF OF ADDRESS

Choose one of the acceptable forms of **proof of address** by sending us a copy of an invoice, statement, letter or contract which shows: The applicant's name, is dated within the last 12 months, shows the full residential address (not a PO Box) and displays the Company logo.

- ☐ 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
- ☐ New Zealand Bank correspondence
- ☐ Car registration notification/demand
- ☐ Non-Generate KiwiSaver correspondence
- ☐ Insurance company (car, house, contents)
- ☐ Rental tenancy agreement

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)

Pursuant to Australian legislative requirements Generate must provide you with the following information if you use any Australian identification documents:

Generate uses identity verification services to verify your identity.

In verifying your information, Generate complies with both the New Zealand Privacy Act 2020 and our Privacy Statement and your rights in relation to your data are included in both the Act and our Privacy Statement at generatewealth.co.nz/privacy-statement/. Generate's use of identity verification services involves third party systems and services.

If you decline or cannot give your consent to Generate's online identity verification process you may be asked to meet face-to-face with an advisor or alternatively obtain certification of the necessary identification documentation by a trusted referee. This can be a Justice of the Peace, Solicitor or Notary Public.

DVS means Document Verification Service and in Australia it is managed by the Framework Administrator represented by the Australian Attorney General's department. You can get information regarding the operation and management for Australian identity documents at architecture.digital.gov.au/document-verification-service-dvs.

Generate's complaints process is available at generatewealth.co.nz/complaints/.

Generate assumes no responsibility or liability to you for errors in the provision of identity verification services or for any actions taken based on the verification information provided.

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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. If you do not provide the required information, we may not be able to onboard you. Generate will (or through Apex Investment Administration (NZ) 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 identity. We may pass your information to and check it with the document issuer, official record holder and authorised third parties that Generate has contracted to carry out the verification process. Generate may share your information and the results of the verification process with appropriate third parties (such as a distributor or adviser that will or has been providing services to you) to enable that third party to comply with any applicable laws.

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/We, director(s)/trustee(s)/partner(s)/executor(s) of (name of company/trust/partnership/estate) ("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/We will immediately advise Generate of any changes, variations or amendments to the entity which affects the director(s)/trustee(s)/partner(s)/executor(s) powers of investment. I will immediately advise Generate of any changes to the director(s)/trustee(s)/partner(s)/executor(s) of the entity.

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

I/We, director(s)/trustee(s)/partner(s)/executor(s) confirm:

- We understand that our 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 our Generate Managed Funds account.
- We have read the privacy statement in this form.

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

This form may be signed either physically or electronically. If you sign electronically, please submit the signed form from your registered email address on file with us. If you prefer to use DocuSign, please contact us directly to arrange this. A valid audit trail must be included.

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 4).
- ☐ If relevant, provide proof of identity and address by Electronic Identity Verification consent and documents or certified proof of identity (refer to pages 1 and 5).
- ☐ If relevant, provide documentation as per Other Requirements (refer to page 5).