

Lump Sum Investment Form

If you would like help completing this form, please email info@generatewealth.co.nz or phone us on 0800 855 322.

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

Investor Details

Investor/Entity name

Date of Birth
if an individual

IRD No.
If you don't know your IRD number, please call the IRD on 0800 227 774
or visit www.ird.govt.nz/tasks/find-my-ird-number

Residential address

City Country Postcode

Mobile Email

Generate Managed Fund Investor Number

Lump Sum Investment

I intend to deposit I have deposited \$ _____ into Generate's Managed Fund bank account.

Please invest this deposit either:

as per my current investment election

as per the following:

Focused Growth %

Balanced %

Conservative %

Australasian %

Thematic %

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 before we can accept your deposit.

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

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 (continued)

Please indicate below how you acquired the money you are investing and attach evidence of the source of funds. Please also attach appropriate documentation as evidence of this. See page 3 for further examples of suitable verification of the source of funds

- | | | |
|---|--|--|
| <input type="checkbox"/> Compensation payment | <input type="checkbox"/> Divorce settlement | <input type="checkbox"/> Gift |
| <input type="checkbox"/> Inheritance | <input type="checkbox"/> Lottery/betting win | <input type="checkbox"/> Money from existing Trust |
| <input type="checkbox"/> Policy claim/maturity | <input type="checkbox"/> Salary/bonus | <input type="checkbox"/> Sale of company |
| <input type="checkbox"/> Sale of investments | <input type="checkbox"/> Sale of property | <input type="checkbox"/> Savings |
| <input type="checkbox"/> Other (please provide details below) | | |

Acknowledgement

I understand that this voluntary contribution to my managed fund account balance will be:

- invested in the investment option(s) I have selected (if applicable); and
- the contributions will be allocated the following business day after funds have been received.

Signature

Physical signature or electronic signature with a valid audit trail. Please contact us directly to arrange this if required.

Date:

D	D	M	M	Y	Y	Y	Y
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Checklist

I have:

- Completed all sections of the form
- I will provide supporting documents to evidence source of funds / wealth. For Verification of Source of Funds please refer to page 3.

Where to send this form

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

Should you have any questions or require any help in completing this form, please call us on 0800 855 322.

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: <ul style="list-style-type: none"> - 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: <ul style="list-style-type: none"> - 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: <ul style="list-style-type: none"> - the organisation logo - the date and the amount of the payout
Investment maturity	Investment maturity confirmation clearly showing the following: <ul style="list-style-type: none"> - the organisation logo - the date matured and amount matured AND: Bank statement evidencing funds deposited*
Sale of property	One of the following: <ul style="list-style-type: none"> - 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



Statement of Account

Mr John Smith
123 Main Street
Sometown
AUCKLAND 1234
New Zealand

Account No: 22-1234-0123456-00
Statement Date: 01/11/2023
Statement No: 712
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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