

Additional Investor Application Form

This application form should be used when three or more persons are applying to open a joint Generate Managed Funds account. Individuals or two-person applicants should use the Individual/Joint Application Form. For help completing this form, please phone 0800 855 322.

Investor 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

Mobile

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 go to [ird.govt.nz/tasks/find-my-ird-number](https://ird.govt.nz/tasks/find-my-ird-number) or contact 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 you can go to [ird.govt.nz/roles/portfolio-investment-entities/find-my-prescribed-investor-rate](https://ird.govt.nz/roles/portfolio-investment-entities/find-my-prescribed-investor-rate) or contact the IRD on 0800 227 774. If you are unsure of your PIR we recommend you seek professional advice. 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

If yes then complete IRD W9 form, available on request or online at the IRS website

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 [oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency](https://oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency) or speak to a tax adviser.

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 the Non-Electronic Verification of Identity and Proof of Address page of your application.

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 the Non-Electronic Verification of Identity and Proof of Address page of your application.

SMS Consent

☐ I consent to receiving SMS messages from Generate, including information about my KiwiSaver or Managed Fund account, Generate products, services, and promotions. I understand that standard rates apply. Replying to an SMS is charged at a rate based on your Network provider – Vodafone, Spark & Skinny is 20c. 2 Degrees is 9c.

## Additional Investor Application Form

### 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.

### Electronic Provision of Information

---

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

---

I/We wish to apply for units in the Scheme. I/We confirm that I/we have received, read and understood the current Generate Unit Trust (Managed Funds) Scheme Product Disclosure Statement dated **30 April 2025** and agree to be bound by the terms and conditions set out in the Product Disclosure Statement and Trust Deed governing the Scheme. I/We understand that if a transaction request is invalid or insufficient information is provided, it will not be processed until valid documentation is received.

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

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

By signing this Application Form I/we 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/We agree to receive communications that are required by law and those provided in connection with your Generate account. Any electronic communication not required by law will include an unsubscribe facility. Telephone calls may be recorded for training purposes or to provide security for transactions by Generate, its related companies or agents.

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

### Signature of Applicant

---

Date Signed