

**Prescribed form for disclosure statement
(financial adviser other than authorised
financial adviser and QFE advisers)**

Form

Disclosure statement (financial adviser)

Name of financial adviser:

Address:

Telephone number:

Fax number:

Email address:

This disclosure statement was prepared on: *[date]*

It is important that you read this document

This information will help you to choose a financial adviser that best suits your needs. It will also provide some useful information about the financial adviser that you choose.

What sort of adviser am I?

I am a registered, but not authorised, financial adviser.

I can give you advice about: *[Describe, using not more than 200 words, the classes of financial products on which the adviser can give advice.]*

What should you do if something goes wrong?

If you have a problem, concern, or complaint about any part of my service, please tell [me/my employer/my internal complaints scheme] so that [I/my employer/my internal complaints scheme] can try to fix the problem.

You may contact the internal complaints scheme by *[briefly explain how to contact the scheme and how to make a complaint under the scheme or, if not applicable, omit this statement]*.

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact *[name of the approved dispute resolution scheme of which you, your employer, or your principal are a member or, if not a member of the approved dispute resolution scheme, name of the reserve scheme]*. This service will cost you nothing, and will help us resolve any disagreements. You can contact *[name of scheme]* at—

Address:

Telephone number:

Email address:

How am I regulated by the Government?

You can check that I am a registered financial adviser at <http://www.fspr.govt.nz>

The Securities Commission regulates financial advisers. Contact the Securities Commission for more information, including financial tips and warnings.

You can report information or complain about my conduct to the Securities Commission, but in the event of a disagreement, you may choose to first use the dispute resolution procedures described above (under **What should you do if something goes wrong?**).

Declaration

I, [*full name*], declare that, to the best of my knowledge and belief, the information contained in this disclosure statement is true and complete and complies with the disclosure requirements in the Financial Advisers Act 2008 and the Financial Advisers (Disclosure) Regulations 2010.

Signed:

Notes for financial adviser on completing this form

To complete this form, you must—

- omit all instructions and explanatory material (italicised text that is enclosed in square brackets) and, if required, replace that text with the information specified; and
- omit all alternative text (text that is enclosed in square brackets and separated by “/”) that does not apply; and
- omit all square brackets enclosing the text referred to above; and
- omit these notes (including the heading to these notes); and
- sign the declaration.

You need not set out the disclosure statement in the same format as in this prescribed form, but the format you use must—

- be typed (not handwritten) and printed in a font and font size that are easily readable by most people; and
- include the same headings and words that appear in this form (other than the text that must be inserted or omitted, as detailed above); and
- present the information in the same order as in this form; and
- not be misleading in any way; and
- not include any information (other than unobtrusive material such as a corporate logo) that is not required to be included in the disclosure statement.

