# Disclosure Statement

## (Registered Financial Adviser)

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| Name and registration number of Registered Financial Adviser: Ian James Wallace, FSP63321 | |
| Address: | Unit 4, 106 Bush Road, Albany, North Shore City 0632 |
| Physical address: | Unit 4, 106 Bush Road, Albany, North Shore City 0632 |
| Postal address: | PO Box 302 369, North Harbour, North Shore City 0751 |
| Trading name: | Britannia Financial Planning Limited |
| Telephone number: | 09 414 4215 |
| Email address: | ian@britanniafinancial.co.nz |
| This disclosure statement was prepared on: 30 July 2020 | |

**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.

In addition to the information that I must disclose to you in this statement, I must also disclose other information to you in a separate disclosure statement (or statements), including information about the types of services that I provide, the fees that I charge, and any actual or potential conflicts of interest. If I have not provided that information to you at the same time as I give you this statement, I must provide it to you as soon as I can.

**What sort of adviser am I?**

I am a registered, but not authorised, financial adviser. I can give you advice about:

- Untimely death
- Suffering certain serious illnesses or disabilities
- Suffering a permanent disability
- Loss of income through sickness or disability
- Requiring timely hospital or specialist treatment
- Loss of a key person through death or disability
- Retirement of business debt or other liabilities caused by death or disability
- Succession, partnership and share purchase needs caused by death or disability
- Residential mortgage advice

**How do I get paid for the services that I provide to you?**

| | Payment type | Description |
|---|---|---|
| ☐ | Fees only | My services are only paid for by the fees that you pay. I do not receive payments from other people or organisations that might influence my advice. |
| ☑ | Fees | My services are paid for by the fees that you pay as well as in other ways. |
| ☑ | Commissions | There are situations in which my employer will be paid by other organisations. How much that payment will be depends on the decisions that you make. |
| ☐ | Extra payments from my employer | I may receive extra payments from my employer depending upon the decisions that you make. |
| ☑ | Non-financial benefits from other organisations | Other organisations may give my employer and me non-financial benefits depending on the decisions that you make. |

I am required to tell you the specific fees, commissions, extra payments, and other benefits that I have received or will, or may, receive in relation to the services that I provide to you. I must tell you these things before I give you advice and/or provide a service or, if that is not practicable, as soon as practicable after I give you that advice and/or provide that service.

**What are my obligations?**

I have other obligations under the Financial Advisers Act 2008 (including regulations made under that Act) and under the general law.

**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 so that I can try to fix the problem.

You may contact the internal complaints scheme by writing to us or contacting us over the telephone.

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact the Insurance & Financial Services Ombudsman Scheme. This service will cost you nothing, and will help us resolve any disagreements.

You can contact the Insurance & Financial Services Ombudsman Scheme at:

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|---|---|
| Address: | PO Box 10-845 Wellington 6143 |
| Telephone number: | 04 499 7612 Freephone 0800 888 202 |
| Email address: | info@ifso.nz |

**If you need to know more, where can you get more information?**

If you have a question about anything in this disclosure statement or you would like to know anything more about me, please ask me. If you have a question about financial advisers generally, you can contact the Financial Markets Authority.

**How am I regulated by the Government?**

You can check that I am a Registered Authorised Financial Adviser at http://www.fspr.govt.nz

The Financial Markets Authority authorises and regulates financial advisers. Contact the Financial Markets Authority for more information, including financial tips and warnings.

You can report information or complain about my conduct to the Financial Markets Authority, 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, **Ian James Wallace**, 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: ______________________________

Date:

Enclosure: Client acknowledgement

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## Client Acknowledgement

I/we,

| PRINT FULL NAME |
|---|

acknowledge receipt of the Disclosure Statement (Version 1) dated 30 July 2020 of Ian James Wallace from Britannia Financial Planning Limited.

Signed:

| SIGNATURE | DATE |
|---|---|

| SIGNATURE | DATE |
|---|---|

**PLEASE SIGN AND DATE AND RETURN THIS PAGE ONLY TO OUR OFFICE.**