

## PUBLIC DISCLOSURE

Financial Advice Provider Name	<b>Hallam Jones Insurance and Superannuation</b>
Financial Advice Provider Number	<b>38182</b>
Physical Address	<b>1384 Hinemoa Street, Rotorua 3010</b>
Postal Address	<b>PO Box 1100 Rotorua 3040</b>
Telephone	<b>07 348 3161</b>
Email	<b><u><a href="mailto:info@hallamjones.co.nz">info@hallamjones.co.nz</a></u></b>
Website	<b><u><a href="http://www.hallamjones.co.nz">www.hallamjones.co.nz</a></u></b>
Date of Disclosure	<b>21 December 2021</b>

### Licence Information

Hallam Jones Insurance and Superannuation Ltd (FSP38182) holds a transitional licence issued by the Financial Markets Authority to provide a financial advice service with regard to the below financial products.

### Nature and Scope of the Financial Advice Provided

Hallam Jones Insurance and Superannuation Ltd provides financial advice and investment planning services relating to the following financial products:

KiwiSaver, superannuation and investment products:

- NZ Funds
- Booster
- AMP

Insurance products provided by:

- Partners Life
- AMP
- AIA
- Fidelity
- Cigna
- Asteron
- NIB
- Southern Cross

Fire & General products provided by:

- Insurance Adviser Net

The advice we will give depends on your requirements. We will discuss these in detail when you meet us.

Hallam Jones Insurance and Superannuation Ltd does not generally provide financial advice on products listed above. However, some clients may have investments in other financial products. Where this is the case, we may provide advice on those products as part of providing financial advice to these clients.

These products are:

- Shares
- Property
- Bitcoin

## Fees and Expenses

Hallam Jones Insurance and Superannuation Ltd may charge the following fees for financial advice:

- an initial advice fee for the time involved in meeting a client, obtaining all necessary information, and preparing and presenting a financial strategy;
- an ongoing financial advice fee for the provision of ongoing financial advice services; and
- where requested by a client, undertaking a specific assignment, for which an agreed consultancy fee may be charged.

We will provide you more information about the fees when we understand the nature and scope of the advice you seek from us.

## Duties

Hallam Jones Insurance and Superannuation Ltd, and anyone who gives financial advice on our behalf, have legal duties relating to the way that we give advice. We must:

- give priority to our clients' interests by taking all reasonable steps to make sure our advice isn't materially influenced by our own interests;
- exercise care, diligence, and skill in providing the advice;
- meet standards of competence, knowledge and skill set by the Code of Professional Conduct for Financial Advice Services (these are designed to make sure that we have the expertise needed to provide you with advice); and
- meet standards of ethical behaviour, conduct and client care set by the Code of Professional Conduct for Financial Advice Services (these are designed to make sure that we treat you as we should and give you suitable advice).

This is only a summary of the duties that we have. More information is available by contacting us, or by visiting the Financial Markets Authority website at [www.fma.govt.nz](http://www.fma.govt.nz).

## Conflicts of Interest, Commissions and Incentives

Our financial advisers are remunerated by way of salary, bonus and commission.

Hallam Jones Insurance and Superannuation Ltd may receive commissions from the managed investment scheme managers on whose products we provide financial advice or in which our clients invest, insurance companies on whose policies we provide financial advice, and from the financial institutions with whom we arrange mortgages. These commissions are based on the amount of the sum invested, insurance premiums paid or mortgage (as applicable).

To ensure that Hallam Jones Insurance and Superannuation Ltd financial advisers prioritise each client's interests above their own, they follow an advice process that is designed to ensure their recommendations are made on the basis of the client's circumstances and financial goals and are suitable for the client. Hallam Jones Insurance and Superannuation Ltd also:

- has a quality assurance programme in place to monitor the advice our financial advisers provide;
- actively monitors compliance with our conflicts policies and procedures; and
- ensures training is provided to all Hallam Jones Insurance and Superannuation Ltd.'s financial advisers about how to manage conflicts of interest.

## Complaints Handling and Dispute Resolution

Even with the best of intentions, complaints sometimes arise. Hallam Jones Insurance and Superannuation Ltd is committed to ensuring that all client complaints are handled and resolved in a professional, fair and timely manner in accordance with our Client Complaints Policy and associated procedures. If you are not satisfied with our financial advice services, you can make a complaint by contacting us at:

**Hallam Jones Insurance and Superannuation Ltd**

**PO Box 1100**

**Rotorua 3040**

**t: 07 348 3161**

**e: [info@hallamjones.co.nz](mailto:info@hallamjones.co.nz)**

**w: [www.hallamjones.co.nz](http://www.hallamjones.co.nz)**

When we receive a complaint, we will consider it and let you know how we intend to resolve it. We may need to contact you to get further information about your complaint. We aim to resolve complaints within

10 working days of receiving them. If we can't, we will contact you within that time to let you know we need more time to consider your complaint.

We will contact you by phone or email to let you know whether we can resolve your complaint and how we propose to do so.

If we can't resolve your complaint, or you aren't satisfied with the way we propose to do so, you can contact Financial Services Complaints Ltd or our governing body, the Financial Market Authority, or, for Fire and General Complaints you may contact Insurance Advisernet.

Financial Services Complaints Ltd, the Financial Markets Authority and Insurance Advisernet are independent dispute resolution services that may help investigate or resolve your complaint; if we haven't been able to resolve your complaint to your satisfaction.

You can contact Financial Services Complaints Ltd at:

**PO Box 5967  
Lambton Quay  
Wellington, 6145**

**t: 0800 347 257  
e: [info@fscl.org.nz](mailto:info@fscl.org.nz)  
w: [www.fscl.org.nz](http://www.fscl.org.nz)**

Or the Financial Markets Authority at:

**PO Box 106 672  
Auckland, 1143**

**t: 0800 434 566  
e: [questions@fma.govt.nz](mailto:questions@fma.govt.nz)  
w: [www.fma.govt.nz/contact](http://www.fma.govt.nz/contact)**

Or Insurance Advisernet

**t: 0800 524 760  
e: [compliance@ianz.co.nz](mailto:compliance@ianz.co.nz)**