

## About our Financial Advice Service

This statement was prepared on 5<sup>th</sup> December 2022. Version2.

### NEWTON ROSS Limited

Registration Number: FSP8141

Address: Level 37, PwC Building, 15 Custom Street West, Auckland

Trading Name: **NEWTON ROSS**

Telephone Number: 09 377 5777

Email Address: [info@newtonross.co.nz](mailto:info@newtonross.co.nz)

### Licence

NEWTON ROSS Limited ("NEWTON ROSS", "we", "us" and "our") is an Authorised Body, under the Financial Markets Conduct license issued to Alvarium Wealth (NZ) Limited by the Financial Markets Authority-Te Mana Tātai Hokohoko, to provide a financial advice service.

### Nature and Scope of Financial Advice Service

We provide independent investment planning and ongoing financial advice services.

We give advice in relation to Managed Investment Funds (both listed and unlisted), New Zealand and International listed and unlisted securities including but not limited to shares in companies, property trusts, managed funds, fixed interest securities, cash deposits, convertible notes, structured investment products, bank bills and discretionary investment management service ("DIMS") facilities.

### Outside the scope of Service

We do not provide financial advice on:

- Contracts for insurance, consumer credit contracts or mortgages. We also do not provide advice on debt structuring, taxation, legal or accounting but may assist identify issues which will need other specialist advice. We can work alongside your tax, accounting, and legal advisers to ensure our advice is integrated with their advice.

### Fees, expenses, or other amounts payable

<b>Investment Planning</b>	There are <u>no charges</u> for any initial client introductory meetings. NEWTON ROSS charges investment planning fees based on the number of hours a financial adviser spends collecting and analyzing information and preparing a written report. The number of hours spent will be determined by the complexity of a clients' circumstances. A quote for fees will be provided to clients <u>before</u> NEWTON ROSS is engaged to provide any Investment Planning.
<b>Ongoing Financial Advice</b>	Where clients choose to engage NZ DIMS to provide DIMS, NEWTON ROSS will continue to provide ongoing financial advice to clients. NEWTON ROSS recovers its fee for providing ongoing financial advice from a portion of the NZ DIMS investment portfolio management fees.

### Independence and Conflicting Interests



Neither NEWTON ROSS or its affiliated company NZ DIMS nor any of the directors, shareholders, or employees or any of their associated parties have any ownership in any financial product issuers or promoters, receive any remuneration, commission or other benefits or have any exclusive arrangements or financial ties with any financial products we may provide advice on.

While the directors, shareholders or employees of NEWTON ROSS and NZ DIMS may from time to time invest in similar financial products or services, it is the strict policy of NEWTON ROSS and NZ DIMS to ensure that no actual or potential conflicts of interest exist which could impair independence and objectivity in providing advice to clients. Should NEWTON ROSS OR NZ DIMS become aware of any such conflict arising, all clients will be informed at that time.

NEWTON ROSS receives a service fee from NZ DIMS, the service fee is not contingent from the financial advice given.

### Confidentiality

NEWTON ROSS Limited, its employees, contractors and officers undertake to safeguard and keep confidential, to the extent permissible at law, all information we collect directly from you or any third parties as authorised by you, for the purposes of undertaking financial advice services. The Financial Markets Authority (FMA) monitors Financial Advice Providers like NEWTON ROSS and as part of that process, the FMA may review client files to ensure they comply with regulatory obligations. Any personal information will be dealt with by FMA in accordance with the Privacy Act 2020.

### Complaint Process

If you have a problem, concern, or complaint about any part of our financial advice services, please tell us so we can try to fix the problem following the complaint process on our website or using the following method:

**Post:** NEWTON ROSS

PO Box 2683 Shortland Street  
Auckland 1140, New Zealand.

**Email:** [info@newtonross.co.nz](mailto:info@newtonross.co.nz)

**Phone:** 09 377 5777

NEWTON ROSS has an internal complaints scheme in place to address issues. We will endeavor to contact you within 2 working days to discuss how to resolve it and gather any other information if required. We aim to resolve your complaint in a timely manner and will indicate to you the time the complaint may take to resolve.

### Dispute Resolution Process

If we cannot agree on how to fix the issue, you can contact the Insurance & Financial Services Ombudsman ("IFSO") who is an Approved Dispute Resolution Scheme to provide dispute resolution services in accordance with the Financial Services Providers Act 2008. This service is independent and will cost you nothing and will help resolve any disagreements.

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

PO Box 10-845

Wellington 6143

Phone: 04 499 7612

Email: [info@iso.nz](mailto:info@iso.nz)

### Duties Information



Any financial adviser providing financial advice services on behalf of NEWTON ROSS is bound by the duties imposed by the Financial Markets Conduct Act 2013 as amended by the Financial Services Legislation Amendment Act 2019 including the duty to:

- Meet the standards of competence, knowledge and skills set out in Code of Professional Conduct for Financial Advice Services
- To give priority to clients' interests
- To exercise care, diligence, and skill in providing financial advice
- To comply with the standards of ethical behavior, conduct and client care as required by the Code of Professional Conduct for Financial Advice Services.

#### **If You Need More Information**

Please contact us if you have a question about anything in this disclosure statement or you would like to know anything further about NEWTON ROSS or NZ DIMS.

If you have a question about financial advice providers in general, you can contact the Financial Markets Authority. They can also provide other information including financial tips and warnings.

#### **Declaration**

The Directors of NEWTON ROSS, declare that to the best of their knowledge and belief the information provided in this Disclosure Statement is true and complete and complies with the disclosure requirements in the Financial Markets Conduct (Regulated Financial Advice Disclosure) Amendment Regulations 2020.

Signed by:



Michael Newton



Wayne Ross

Directors of NEWTON ROSS Limited

