

About our Financial Advice Service

This statement was prepared on 1st July 2023. Version3.

Alvarium Wealth (NZ) Limited trading as ("NEWTON ROSS")

Registration Number: FSP20861

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

Licence

Alvarium Wealth (NZ) Limited, trading as NEWTON ROSS ("NEWTON ROSS", "we", "us" and "our"), is licensed to provide a financial advice service by the Financial Markets Authority-Te Mana Tātai Hokohoko.

You can check that Alvarium Wealth (NZ) Limited (FSP20861) is registered as a financial services provider and that the financial advisers are also registered at <http://www.fspr.govt.nz>

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

Investment Planning	<p>There are <u>no charges</u> for any initial client introductory meetings.</p> <p>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.</p> <p>A quote for fees will be provided to clients <u>before</u> NEWTON ROSS is engaged to provide any Investment Planning.</p>
Ongoing Financial Advice	<p>NEWTON ROSS does not charge fees, expenses or any other amounts for providing financial advice. You will only be charged fees if you decide to invest in our managed funds or DIMS strategies. Before you invest with us, we will provide you with details of the fees, expenses or other amounts payable.</p>



Independence and Conflicting Interests

Neither NEWTON ROSS nor any of the directors or shareholders, 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 may from time to time invest in similar financial products or services, it is the strict policy of NEWTON ROSS 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 become aware of any such conflict arising, all clients will be informed at that time.

A portion of our financial advisers' remuneration may be based on the fees we receive for the products or services you invest in as a result of their advice to you.

Confidentiality

NEWTON ROSS, 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 2673 Shortland Street

Auckland 1140, New Zealand.

Email: complaints@alvarium.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, or if you decide not to use the internal complaints process, you can contact our external dispute resolution scheme:

Financial Services Complaints Limited ("FSCL")

Address: PO Box 5967

Lambton Quay

Wellington 6145

Phone: 0800 347 257

Email: info@fscl.org.nz

FSCL will not charge a fee to any complainant to investigate or resolve a complaint.



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.

This document is prepared in accordance with clause 4, Schedule 21A, Financial Market Conduct Regulations 2014. If you need more information **please contact us**.

