



## Financial Advisor Disclosure Statement

**Name of Financial Advisor:** Stuart Thompson  
**Business Address:** Level 3, Building 8 Five Mile Centre, Frankton, Queenstown  
**Financial Advice Provider (FAP):** RMA General Ltd and Associated Bodies  
**FAP Licence Information:** FSP691192 - Wholesale and/or generic financial adviser services  
**Telephone Number:** 09 425 7111 Ext 1  
**Email Address:** stuart.thompson@rmafinancial.co.nz  
**Website:** rmafinancial.co.nz

### It is important that you read this document

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

This statement will also inform you 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 Advisor and I and How can I Help?

I am a Financial Advisor. This means I have been authorised by the Financial Markets Authority (the government agency that monitors financial Advisors) to provide the financial advice services described below.

General Insurance products, not including Life/Health products or investment linked insurance products and such as:

- ) Domestic, SME and Commercial insurances and Risk Advice – all clients

### What are my relevant qualifications and experience?

I have been a practising insurance broker since 1991 and will have attained New Zealand Certificate in Financial Service (Level 5) by Q2 2022.

Please refer to our website for information on my qualification and experience. As a registered Financial Advisor I maintain my competence, knowledge and skills up to date by undertaking continuing professional development recorded in an annual plan to complete learning activities.

To ensure I act with integrity I commit to prioritising your interests and follow an advice process that ensures recommendations are made on the basis of your individual goals and circumstances.

Should there be any potential conflicts of interest that you need to take into consideration I will make these known when giving advice.

### Do I have a disciplinary, criminal or bankruptcy record?

As of this date I am not aware of any disciplinary, criminal, or bankruptcy record or action pending.



### What are my other professional, business or association interests?

The Financial Advice Provider, under whose licence I can give financial advice, is a member of the NZbrokers Management Ltd. NZbrokers is a network of New Zealand owned or operated professional insurance brokers. More information about NZbrokers is available [here](#).

### What are my obligations?

As a Financial Advisor, I must comply with the Code of Professional Conduct stated in the Financial Markets Conduct Act. I also have other obligations under the general law and through membership of the Insurance Brokers Association of New Zealand (IBANZ).

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

My remuneration, for the services provided to you, will be in the form of a commission paid by the insurer or an annual fee agreed with you. Please refer to our Statement of Services here.

To enable us to afford a high level of administration and office services, we may also charge an administration fee which will be shown separately on the invoice.

### Professional Indemnity Insurance

Through my employer I have Professional Indemnity Insurance covering myself and my employer in respect of negligent errors and omissions. As with all insurance, this cover is subject to certain terms, conditions and exclusions.

### 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 NZ Brokers Management Limited at 29 Apollo Drive, Rosedale, Auckland 0632.

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

You can contact FSCL at:	Address:	PO Box 5967, Wellington, 6011
	Telephone:	04 472 3725
	Email:	<a href="mailto:complaints@fscl.org.nz">complaints@fscl.org.nz</a>

### 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 Advisors generally, you can contact the [Financial Markets Authority](#).



### How am I regulated by the Government?

You can check that I am a Registered Financial Advisor [here](#)

The Financial Markets Authority regulates Financial Advisors. 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, Stuart Douglas Thompson 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 Services Legislation Amendment Act 2019.**

**Signed:**

A handwritten signature in blue ink, appearing to read 'Stuart', is written over a faint, light blue circular watermark that contains a stylized orange fan-like graphic.

**Name: Stuart Douglas Thompson**

This **disclosure statement was prepared on 4<sup>th</sup> March 2021.**