



# Somerset Smith Partners

INVESTMENT ADVISERS SINCE 1934 - NZX FIRM

## Disclosure Statement (Financial Adviser)

Name and registration number of Financial Adviser:	Somerset Smith Partners FSP12342
Address:	25 Station Street, Napier.
Trading name:	Somerset Smith Partners
Telephone number:	+64 (06) 835 3126
Email address:	napier@somsmith.co.nz

This disclosure statement was prepared on: 28 April 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.

### What sort of adviser am I?

I am a registered, but not authorised, financial adviser.

I can give you advice about broker and financial adviser services being a Financial Services Provider under the Financial Advisers Act 2008 (FSP12342).

Somerset Smith Partners is not a Qualifying Financial Entity, and as an employer or principal of a financial adviser, I am registered to provide the following financial services:

- Wholesale and/or generic financial adviser services
- Broking services
- Keeping, investing, administering, or managing money, securities, or investment portfolios on behalf of other persons
- Changing foreign currency
- Entering into or trading on an exchange, in an over-the-counter market or otherwise service

Somerset Smith Partners provides these broker and financial adviser services through my Authorised Financial Advisers. Our broker and financial advice will not be a personalised service unless we are provided with sufficient information about your particular investment objectives, financial situation, goals and needs.

The service provided by Somerset Smith Partners and its advisers is therefore generally limited to the transactional implementation of any instruction from time to time, and unless specifically requested no other service is provided by Somerset Smith Partners and its advisers.

### What should you do if something goes wrong?

If you have a problem, concern, or complaint about any part of my service, please tell my internal complaints scheme so that we can try to fix the problem.

You may contact the internal complaints scheme by telephone or e-mail or by writing to the Compliance Manager (Sharon Wiley) at:

E-Mail:	sharon@somsmith.co.nz
Telephone:	+64 (06) 835 3126
Postal Address:	Somerset Smith House 25 Station Street Napier 4110

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 Limited (FSCL).

This service will cost you nothing and will help us resolve any disagreements.

You can contact FSCL at:

Address: PO Box 5967 Lambton Quay Wellington 6145  
Telephone Number: 0800 347257 (Call Free for consumers) or (04) 472 3725  
E-mail address: info@fscl.org.nz

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

You can check that I am a registered financial services provider 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, Somerset Smith Partners, 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:



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Partners: M C Lee AFA – A K Pearson B Com, CA, AFA – A D W Sabiston B Com, AFA