

## **Financial Advice Provider Disclosure Statement**

Nikko Asset Management New Zealand Limited (Nikko AM) is a Financial Advice Provider (FAP) and holds a FAP licence issued by the Financial Markets Authority (FMA) in accordance with the Financial Markets Conduct Act 2013 to provide financial advice services in New Zealand. Our Financial Advice Service Provider Registration number is FSP22562.

This FAP Disclosure Statement provides important information about the financial advice that Nikko AM can provide to our customers. It should help you decide whether our financial advice service is appropriate for you.

### **Conditions of our Licence**

Nikko AM may nominate employees with appropriate skills as Nominated Representatives (NR) who are able to give advice on behalf of Nikko AM.

### **Nature and Scope of our financial advice service**

Nikko AM only provides financial advice services on:

- financial advice products
- switching funds within a managed investment scheme (including KiwiSaver)

The financial advice products that Nikko AM can provide advice on are limited to:

- The Nikko AM KiwiSaver Scheme and the funds offered within that Scheme.
- The Nikko AM Investment Scheme and the funds offered within that Scheme.

We make every effort to ensure our product suite serves a broad range of different customer needs. We are trusted by a diverse range of large institutional clients that have invested with us for many years. You will be investing in the same types of funds as these clients.

### **Fees, expenses, or other amounts payable**

Nikko AM does not charge customers a fee for financial advice services.

### **Conflicts of interest and commissions or other incentives**

Nikko AM is only able to provide advice on its products. As we have a broad range of funds available within our offering, no customers will be disadvantaged through NRs being able to advise on Nikko products only.

Nikko AM, as manager of the funds in the Nikko AM KiwiSaver Scheme and Nikko AM Investment Scheme, receives management fees from money you invest into a fund.

## **Complaints process**

If you have any issues or concerns with any services you received from Nikko AM or our Nominated Representatives you can contact us on 0800 303-308 or email us at [goalsgettter@nikkoam.com](mailto:goalsgettter@nikkoam.com). You can also write to us at PO Box 3892, Shortland Street, Auckland 1140. All complaints are reviewed by our client services team and are escalated if required.

## **Disputes resolution process**

If you have made a complaint to us and it has not been resolved within 40 days or if you are dissatisfied with the proposed resolution, you can refer it to:

Financial Services Complaints Limited – a Financial Ombudsman Service  
Level 4, 101 Lambton Quay, Wellington 6011  
PO Box 5967, Wellington 6145  
Freephone 0800 347 257 or 04 472-FSCL

[www.fscl.org.nz](http://www.fscl.org.nz)

Financial Services Complaints Limited (FSCL) will not charge a fee to any complainant to investigate or resolve a complaint. Further information about referring a complaint to FSCL can be found at

[www.fscl.org.nz](http://www.fscl.org.nz).

## **Duties information**

Nikko AM and our Nominated Representatives have duties under the Financial Markets Conduct Act to:

1. meet the standards of competence, knowledge, and skill set out in the Code of Professional Conduct for Financial Advice Services; and
2. give priority to the client's interests; and
3. exercise care, diligence, and skill; and
4. meet the standards of ethical behaviour, conduct, and client care set out in the Code of Professional Conduct for Financial Advice Services.