

DISCLOSURE

Licensing information

Martin Hawes (FSP108466) trading as Martin Hawes is a Financial Advice Provider (FAP) licensed and regulated by the Financial Markets Authority to provide financial advice.

Nature and scope of the advice

I give presentations and key note speeches which include talking about personal finances and doing better with money. During these presentations, I may mention financial products and talk generally about buying and selling these as part of building wealth. I may also talk about building a diversified investment plan that is aligned with personal financial goals.

Occasionally, I may work with a client to help them refine their financial goals and draft an investment plan. This does not include providing recommendations on specific financial products.

Fees or expenses

I will charge a fee for the presentations and consulting work I undertake. The fee will be negotiated prior to any work commencing and will be determined by the length of time involved in preparing and delivering the presentation or in undertaking the consulting work. Payment terms will be agreed as part of finalising the fee.

Conflicts of interest and commissions

I am remunerated as shareholder and director of Baker Hawes Consultants Limited. It receives all client fees that are generated by me. I do not receive any commissions as I do not recommend specific financial products nor do I manage money for clients.

Relationship with Forsyth Barr Investment Management Limited

I am currently the Chair of the Investment Committee for the Summer KiwiSaver Scheme, managed by Forsyth Barr Investment Management Limited. Part of my role as the Chair includes writing articles for members of the Summer KiwiSaver Scheme, presenting seminars, and other tasks that may be required. My company and I receive a fixed payment from Forsyth Barr Investment Management Limited for the provision of these activities.

In addition, my company and I may be eligible to receive a bonus from Forsyth Barr Investment Management Limited if the total funds invested in the Summer KiwiSaver Scheme exceeds a certain threshold. The bonus we receive is based on the percentage of funds exceeding the threshold.

Aside from those mentioned above, my company and I do not receive any other form of remuneration from Forsyth Barr for the provision of financial adviser services.

Relationship with Retirement Income Group Limited.

I am a director and shareholder of Retirement Income Group Ltd. I receive an annual fee from Retirement Income Group Ltd for my role as a director. I may also receive payments from Retirement Income Group Ltd for writing articles and presenting at seminars.

My company and I do not receive any other form of remuneration from Retirement Income Group Limited for the provision of financial adviser services.

I prioritise clients' interests by:

- Disclosing my conflicts of interest

- Not recommending specific financial products to specific individuals
- Completing annual training relating to understanding the legislation, regulation, code, good conduct obligations and managing conflicts of interest.
- Maintaining a conflict of interests register.

Complaints handling and dispute resolution

If you are not satisfied with my service or financial advice, please tell me as soon as possible.

Call: 021 22 22 737

Email: martin@martinhawes.com

Write to: 32 Esplanade, Sumner, Christchurch 8081

When I receive a complaint:

- I will consider your complaint and let you know how I intend to resolve it. Where possible, I try to resolve your complaint immediately.
- If I am unable to resolve your complaint immediately, I will acknowledge your complaint within 2 business days. I may contact you to get further information about your complaint.
- I aim to resolve complaints within 10 working days of receiving them. If I need more time to investigate your complaint, I will let you know when you can expect to receive a response to your complaint.
- I will contact you by phone, email or letter to let you know whether I can resolve your complaint and how I propose to do so.

If we cannot agree on how to fix the issue, or if you decide not to use our internal complaints process, you can contact our external disputes resolution scheme, Fairway Financial Dispute Resolution Service (FDRS). FDRS provides a free and independent dispute resolution service that may help to resolve your complaint if we haven't been able to do so to your satisfaction.

To contact FDRS:

Call: 0504 337 337

Email: enquiries@fdrs.org.nz

Write to: PO Box 2272, Wellington, New Zealand 6140

Duties information

Martin Hawes has duties under the Financial Markets Conduct Act 2013 relating to the way that I give advice.

I am required to:

- give priority to your interests;
- exercise care, diligence, and skill;
- meet standards of competence, knowledge and skill set by the Code of Professional Conduct for Financial Advice Services
- meet standards of ethical behaviour, conduct and client care set by the Code of Professional Conduct for Financial Advice Services.

Contact details

Martin Hawes (FSP108466) is the Financial Advice Provider.

Call: 021 22 22 737

Email: martin@martinhawes.com

Write to: 32 Esplanade, Sumner, Christchurch 8081