

# Primary Disclosure Statement

Authorised Financial Adviser

Contact Details	
Name of Financial Adviser	Stephen McFarlane Registration Number: FSP47582
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Trading name	One to One Financial Management Limited One to One Risk Services Limited, trading as Triplejump South Canterbury
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This disclosure statement was prepared on 30 June 2011	

## 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.

In addition to the information that I must disclose to you in this statement, I must also disclose other information to you in a separate disclosure statement (or statements), including information 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 adviser am I?

I am an Authorised Financial Adviser. This means I have been authorised by the Securities Commission (the government agency that monitors financial advisers) to provide the financial adviser services described below.

## I can give you advice about

I have been authorised to provide you with financial adviser services of the following categories:

- Financial advice
- Discretionary investment management services
- Investment planning services

**When I do this, I will be able to give you advice about—**

- financial products provided by only 1 organisation:
- financial products provided by a small number of organisations (2 to 5 organisations):
- financial products provided by a broad range of organisations (more than 5 organisations).

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

Payment type	Description
<input type="checkbox"/> Fees only	My services are only paid for by the fees that you pay. I do not receive payments from other people or organisations that might influence my advice
<input checked="" type="checkbox"/> Fees	My services are paid for by the fees that you pay as well as in other ways.
<input checked="" type="checkbox"/> Commissions	There are situations in which I will be paid by other organisations. How much that payment will be depends on the decisions that you make.
<input type="checkbox"/> Extra payments from my employer	I may receive extra payments from my employer depending upon the decisions that you make.
<input type="checkbox"/> Non-financial benefits from other Organisations	Other organisations may give me non-financial benefits depending on the decisions that you make.

I am required to tell you the specific fees, commissions, extra payments, and other benefits that I have received or will, or may, receive in relation to the services that I provide to you. I must tell you these things before I give you advice or, if that is not practicable, as soon as practicable after I give you that advice.

**What are my obligations?**

As an Authorised Financial Adviser, I must comply with the Code of Professional Conduct for Authorised Financial Advisers. I also have other obligations under the Financial Advisers Act 2008 (including regulations made under that Act) and under the general law.

## 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 and fix the problem.

You may contact the internal complaints scheme by advising me or a member of my team you wish to make a complaint. We will provide a complaints form for you to complete and from here we will address the complaint; provide a reference number and work to resolve the issue. We will keep regular communication with you during this process so you are aware of the steps we are taking to reach a solution.

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact the Insurance & Savings Ombudsman scheme.

This service will cost you nothing, and will help us resolve any disagreements. You can contact the Insurance & Savings Ombudsman scheme at:

Address: Level 7  
99 – 105 Customhouse Quay  
Wellington 6011

Telephone: Freephone 0800 888202  
Email address: [info@iombudsman.org.nz](mailto:info@iombudsman.org.nz)  
Website: [www.iombudsman.org.nz](http://www.iombudsman.org.nz)

## How am I regulated by the Government?

You can check that I am a registered financial services provider and an Authorised Financial Adviser at <http://www.fspr.govt.nz>

The Financial Markets Authority 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, Stephen John McFarlane, 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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