

Primary Disclosure Statement (Authorised Financial Adviser)

Name and registration number of Authorised Financial Adviser: Wayne Head FSP 52141

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Trading name: Stratus Financial Services Limited

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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 Financial Markets Authority (the government agency that monitors financial advisers) to provide the financial adviser services described below.

How can I help you?

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

- Financial Advice
- Investment Planning

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

Fees only

Fees

Commissions

Extra payments from my employer

Non-financial benefits from other organisations

Description

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.

My services are paid for by the fees that you pay as well as in other ways.

There are situations in which my principal will be paid by other organisations. How much that payment will be depends on the decisions that you make.

I may receive extra payments from my employer depending upon the decisions that you make.

Other organisations may give my principal and 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 provide a service or, if that is not practicable, as soon as practicable after I provide that service.

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 my internal complaints scheme so that my internal complaints scheme can try to resolve the problem.

You may contact the internal complaints scheme by:

Contact Name: Neil Carter, Director
Address: Stratus Financial Services Ltd
PO Box 10-337 The Terrace
Wellington 6143
Telephone number: 04 499 6500
Email address: Neil@stratusnz.nz

You may email Neil or call him and he will handle your complaint until it is resolved or escalated. This service is free of charge.

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 & Financial Services Ombudsman. This service is free of charge and will help us resolve any disagreements.

You can contact the Insurance & Financial Services Ombudsman Scheme Inc. (IFSO)

Telephone number: Freephone 0800 888 202
Email address: info@ifso.nz
Website: www.ifso.nz

If you need to know more, 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 let me know.

If you have a question about financial advisers generally, you can contact the Financial Markets Authority(FMA). The website for the FMA is <https://www.fma.govt.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 FMA authorises and regulates financial advisers. Contact the FMA for more information, including financial tips and warnings.

You can report information or complain about my conduct to the FMA, 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, Wayne Head, 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: .....

Dated: 1 June 2020