

## DISCLOSURE STATEMENT

Changes to the Securities Market Act 1988 that came into force on the 29<sup>th</sup> of February 2008 require investment advisors to make certain disclosures to clients by way of a Disclosure Statement.

### About OMFfinancial

OMFfinancial Limited (“**OMFfinancial**”) is a 100% New Zealand owned company providing a 24 hour financial service to clients.

This is a disclosure statement for the purposes of Part 4 of the Securities Markets Act 1988. OMFfinancial and the advisors listed in the schedule (“**Advisors**”) make the following disclosures as investment advisors and investment brokers under the Securities Markets Act 1988

### Types of Securities

OMFfinancial and its Advisors may from time to time provide general investment advice to you in relation to foreign exchange contracts, futures contracts, contracts for difference (CFDs), options and equities. Further details can be found in the “Introduction to Trading” document available for download at [www.omf.co.nz](http://www.omf.co.nz).

### Qualifications and Experience

The qualifications and experience of each of OMFfinancial’s Advisors, and any relevant interests or relationships of the Advisors, are set out in the summary schedule of this Disclosure Statement.

### What happens when your advisor is unavailable?

As OMFfinancial runs a 24 hour service to clients it is likely that clients will speak to another advisor other than their main advisor. In the likely event that advice is given by another advisor outside your main advisor we think it is prudent that a disclosure is made to you for all our retail advisors.

### Professional Indemnity Insurance

OMFfinancial maintains professional indemnity insurance cover in respect of investment advice given by its Advisors.

### Complaints Resolution

In the event that you wish to make a complaint about our service, you should make the complaint known in writing to the Compliance Manager at the address on the bottom of this document. We will let you know that your complaint has been received and the Compliance Manager will make all necessary efforts to respond to your complaint within 10 working days. You also have the right to address your complaint to the New Zealand Exchange Limited, P O Box 2959, Wellington.



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## Adverse Matters

OMFinancial, the principal officers of OMF Financial, and the Advisors have not been convicted of any crime against the Securities Markets Act 1988 or the Securities Act 1978 or any offence involving dishonesty. No principal officer or advisor has been a director or principal officer of a body corporate at the time the body corporate committed any such crime or offence, nor been adjudicated bankrupt, nor prohibited by law or a court from taking part in the management of a company or business, nor been the subject of an adverse finding by a court in any proceeding against them in their professional capacity, nor been expelled from (or prohibited from being a member of) a professional body. OMF Financial has not been placed in statutory management or receivership.

## Interest

You shall receive interest on accounts that are in excess and pay interest on accounts that are in deficit. The interest rate applied will differ for each currency and will be agreed on with your advisor when your account is opened. Typically the interest rate will be a maximum of 2.0% below OMF Financial's base rate for accounts in excess and a maximum of 2.0% above OMF Financial's base rates for accounts in deficit. Interest is calculated based on the margin excess or deficit of each currency individually. It is your responsibility to manage the currency balances. At your request we are able to convert currency amounts within the account using interbank exchange rates. At month end, interest calculated on each currency is converted to the accounts base currency (NZD unless otherwise instructed). Withholding tax is calculated and deducted from any interest earned.

## Fees and Commissions Disclosure

OMFinancial will charge you commissions on deals it arranges on your behalf.

Investment advisors are paid a fixed salary by OMF Financial and may qualify to share in the company's profits on a discretionary basis.

Current charges are as follows:

### Foreign Exchange

Foreign Exchange Margin and Deliverable Brokerage Rates will typically be up to 0.05% of the Nominal Face Value of the contract.

OMFinancial acts as principal in FX dealing.

### Holding Charges

Open foreign exchange contracts not delivered on their value date will incur or attract holding charges. You will receive interest for the bought currency and pay interest for the sold currency. The holding charge will either be a debit or credit to your account depending on the currency pair not settled. The charge will apply every day until the open position is closed out.

### Futures Contracts

Futures Commissions Rates will be agreed on when your account is opened.



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As a guide:

For Contracts in USD, EUR, AUD and NZD brokerage rates shall be a maximum of \$50 per contract lot in the currency of the contract.

For contracts in GBP brokerage rates shall be a maximum of GBP 30 per lot.

For contracts in HKD brokerage rates shall be a maximum of HKD 385 per lot.

For contracts in JPY brokerage rates shall be a maximum of JPY 5,500 per lot.

Trading futures contracts attract Exchange Fees that will vary for each Exchange and type of contract. Exchange fees for individual contracts are available from your advisor. Exchange fees may be passed on to clients.

### **Equities and Equity options**

OMF will charge transaction commission on all Equity transactions arranged on your behalf. Commission will typically be up to a maximum of 2%. In addition to transaction Commission, Agency and Corporate Action fees, Exchange fees may also be charged. Exchange fees may vary for each exchange and are available from your Advisor. Corporate action will incur fees up to \$50 per transaction.

All foreign securities will be held in custody with an agent appointed by OMFfinancial. Overseas investments will be held in an Omnibus account on trust for you. We may charge Custodial fees for this facility. Custodial fees are charged at a maximum of 50 basis points per annum, calculated monthly on the face value of the securities.

Option Contracts denominated in USD, or CAD, brokerage will be charged at a maximum of USD\$5 per contract, subject to a minimum of USD\$50 per trade per day. For Option Contracts denominated in AUD, brokerage will be charged at a maximum of A\$10 per contract, subject to a minimum of A\$95 per trade per day.

Equities and Equity options rates will be agreed when your OMF account is opened

### **Fees**

OMF will charge a US\$15 fee for the transfer of securities both in and out of our custodian account. A US\$30 fee is also applicable for each corporate action undertaken for shares held on your behalf. Examples of corporate actions include but are not limited to: stock splits dividend payments and rights issues.

### **Custodial charges**

An annual fee of up to 1.00%, based on the underlying value of your market portfolio, will be calculated and charged to your account at the end of each month.

### **Rights issues and voting**

General rights regarding Securities Transactions

OMFfinancial will use its best endeavours to keep you informed of certain events that affect your securities, such as rights issues, bonus issues, takeovers, company reconstructions and impending exercise or expiry of options, warrants and convertible bonds, and will act in accordance with your instructions in relation thereto. OMFfinancial shall have no duty or



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responsibility to attend any meetings or to vote in respect of any of the securities or in respect of proxies received by it or any of its agents in respect of any securities or for sending any proxies or giving any notice of the receipt of such proxies to you. However, OMFinancial will act in accordance with your written instructions in this regard.

## Procedures for dealing with client funds

### Funding Your Account

You may fund your account by direct credit, internet transfer or by TT using the OMFinancial Limited client bank account details found on the following link:

<http://www.omf.co.nz/About/Account.aspx>

When making your deposit please ensure you use your account number as a reference on the transfer to ensure the funds are allocated to your account on a timely basis.

Note: In order to ensure compliance with current Anti-Money Laundering legislation, OMFinancial cannot accept cash (including travelers cheques) deposits.

### Use of Client Funds

All moneys credited to the clients' segregated bank account maintained by OMFinancial may be used by the firm to meet the default of any client of the firm or to pay any liability or costs owing by any client to the firm.

### Accounts

Funds received by OMFinancial from clients are deposited by us into a segregated bank account and are held on trust until disbursed in accordance with the client's instructions or in order to meet the default of any client of the firm or to pay any liability or costs owing by any client to the firm. As an NZX Futures and Options participant firm, the holding and distribution of client funds is governed by NZX Participant Rules, NZX Futures and Options Rules and the Futures Industry (Client Funds) Regulations 1990. This separation of clients' funds from the firm's own capital ensures the company can never use client funds for its own purposes. All operations are subject to supervision by NZX.

### Records

OMFinancial's accounting records contain day to day entries of all client money and property received by or in the possession or control of OMFinancial. Records of all payments and disbursements of client money and property are also maintained. Access to these records is not provided as OMFinancial provides deal confirmations and monthly statements to clients.

### Auditing

The accounting records and internal controls of OMFinancial, (and the receipt, holding, and disbursement of the client funds), are audited by externally qualified auditors. The Auditors for OMFinancial are PricewaterhouseCoopers.

## Standard and Poor's Credit Rating

Standard & Poor's have assigned OMFinancial a **BB+** Credit Rating.

## Compliance Manager

If you require any clarity on any of the information provided please give OMFfinancial's Compliance Manager a call.

Tim Morrison

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📞 +64 9 520 9313

✉: [tim.morrison@omf.co.nz](mailto:tim.morrison@omf.co.nz)

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Newmarket  
P.O. Box 5830  
Wellesley Street  
Auckland  
☎ 64 9 520 9310

Level 2,  
National Chambers  
15 Johnston Street  
Wellington  
☎ 64 4 499 0028

Level 6, SBS House  
180 Manchester Street  
P.O. Box 3804  
Christchurch  
☎ 64 3 366 3804

## SUMMARY SCHEDULE OF CLIENT ADVISORS

### AUCKLAND

Level 2  
187 Broadway  
Newmarket  
AUCKLAND

#### ADAM VAN SAMBEEK – Advisor

Since joining OMFfinancial in 1992, Adam has gained a vast understanding of financial products including FX, Futures and Option strategies. In 1997, looking to build on his market knowledge, he moved to London and increased his international experience. After holding positions on the trading desk of some major European institutions (Schroders, Commerzbank), Adam returned to OMFfinancial in 2000. With an extensive knowledge of the global markets, Adam is well suited to assist clients to take advantage of global opportunities.

#### Qualifications

- NZX Futures and Options Advisor - Accredited
- Futures Industry (US) Series 3
- New Zealand Futures and Options Exchange Trading systems operator
- Sydney Futures Exchange Trading systems operator

#### Courses attended

- New Zealand Futures and Options Exchange - Introduction to Trading and Options

#### Relevant Interests

Adam has a beneficial interest in the Company.



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## Contact Details

Email: [adam.van.sambeek@omf.co.nz](mailto:adam.van.sambeek@omf.co.nz)  
 Business Tel: +64 9 523 1166

## ANDY KING – Advisor

Andy King began his career working in the city of London for MWMarshall as a Spot US\$/CAD and US\$/DEM broker, dealing with some of the world's largest investment banks and trading houses. After travelling extensively for a few years Andy joined Ord Minnett Fixed Interest as part of the Wholesale broking operation, dealing with the Australasian inter-bank markets. Prior to joining OMFfinancial he has spent the past eight years designing, programming, testing and trading proprietary pattern recognition software for the equity index and commodity markets. He brings with him a wealth of understanding in the fields of system design and technical analysis along with real life trading experience and a sound understanding of fundamental economics.

## Qualifications

- Futures Industry (US) Series 3
- New Zealand Futures and Options Exchange Trading systems operator
- NZX Futures and Options Advisor - accredited
- Sydney Futures Exchange Trading systems operator
- Financial Services Institute of Australia - New Zealand Securities Law 508N

## Relevant Interests

Nil

## Contact Details

Email: [andy.king@omf.co.nz](mailto:andy.king@omf.co.nz)  
 Business Tel: +64 9 523 2221

## CARL MCGHIE- Advisor, Night Desk

Carl McGhie has been involved in financial markets since 1999 and has worked in most areas from FX and interest rates to commodities and equities. He began his financial career employed by Wall Street Derivatives as a Margin FX and Derivatives broker before joining OMFfinancial in mid-2006 and then departing in late-2008 to pursue finance study at Victoria University. Carl returned to OMFfinancial in mid-2009 to rejoin the night desk team.

## Qualifications

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited
- NASD Series 3
- Diploma in Accounting – Eastern Institute of Technology, Napier

## Relevant Interests

Nil

### Contact Details

Email: [carl.mcghie@omf.co.nz](mailto:carl.mcghie@omf.co.nz)  
 Business Tel: +64 9 523 1166

### DALLAS SQUIRE – Head of Foreign Exchange

Having spent 13 years at OMFfinancial and over 20 years in the financial markets, Dallas has traded many markets and currently specialises in Foreign Exchange. Prior to joining OMFfinancial, Dallas managed the Treasury of a local corporate with annual Foreign Exchange turnover in excess of NZ\$2 billion. Dallas has a good understanding of Margin Foreign Exchange, Deliverable Foreign Exchange, FX Options and Swaps. He has a good understanding of Technical Analysis along with Fundamental Analysis of markets, and his advice is tailored to the needs of clients accordingly.

### Qualifications

- NZX Futures and Options Advisor - Accredited

### Courses attended

- Citibank Bourse course
- New Zealand Futures and Options Exchange - Introduction to Trading and Options

### Relevant Interests

Dallas has a beneficial interest in the Company

### Contact Details

Email: [dallas.squire@omf.co.nz](mailto:dallas.squire@omf.co.nz)  
 Business Tel: +64 9 523 2221

### DANIEL CRAWFORD – Advisor, Night Desk

Daniel has been with the Night Desk team since November 2006. He has personal experience in Foreign Exchange trading and Fixed Interest investments. Daniel uses economic fundamentals to determine long term views and technical analysis to develop short-term views and strategies.

### Qualifications

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited
- New Zealand Futures and Options Exchange Trading systems operator
- Degree in Financial Economics

### Relevant Interests

Nil



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### Contact Details

Email: [daniel.crawford@omf.co.nz](mailto:daniel.crawford@omf.co.nz)  
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### DANIEL SKIPPER – Advisor

Daniel is a Futures and Foreign Exchange dealer for OMFfinancial. He has experience working both the European and New York markets on OMFfinancial's Night Desk. Daniel uses a combination of fundamental analysis for longer term views and technical analysis for shorter term views. His main focus is Foreign Exchange, but also uses the Futures markets to execute views on equities, commodities and interest rates.

### Qualifications

- NZX Futures and Options Advisor - Accredited

### Relevant Interests

Nil

### Contact Details

Email: [daniel.skipper@omf.co.nz](mailto:daniel.skipper@omf.co.nz)  
Business Tel: +64 9 523 2221

### JAMES DAVIES – Advisor

James Davies has a focus on more exotic trading solutions for high net worth clients wanting exposure to special situations globally. His advice is technically driven with a fundamental background, which attempts to profit from long term trends in these markets. He has 25 years experience in the financial markets gained mostly in London and Melbourne. Prior to joining OMFfinancial in January 1997 James held positions with Lind-Waldock & Co in London as a futures dealer before moving to Melbourne where he was senior dealer and sales manager for Travelex Australasia (corporate FX).

### Qualifications

- NZX Futures and Options Advisor – Accredited
- FSA London, Series 3

### Relevant Interests

James has a beneficial interest in the Company

### Contact Details

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Business Tel: +64 9 523 2221

### **JEANETTE SCHIMANSKI – Advisor**

Jeanette commenced her career in the broking industry in 2004 with Direct Broking as a Private Client Advisor. Prior to joining the Equities team at OMF in 2008 Jeanette relocated to Wellington for a couple of years to work for McDouall Stuart as an NZX Investment Advisor providing advice on a full range of tradable securities on the New Zealand and Australian share market while also constructing and managing client portfolios.

#### **Qualifications**

- NZX Licensed Sharebroker
- NZX Diploma
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N
- Kaplan Professional – Futures and Options Markets and Trading FIN229
- Kaplan Professional – Interest Rate Markets FIN240
- Kaplan Professional – Financial Markets & Economic Principles - FIN111
- Kaplan Professional – Techniques in Financial Analysis - FIN113
- Kaplan Professional – Foreign Exchange Markets – FIN 241

#### **Relevant Interests**

Nil

#### **Contact Details**

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 Business Tel: +64 9 524 8712

### **KEVIN MORGAN – Advisor**

Kevin has worked in global financial markets for over 25 years, commencing in 1978 as an equities market maker on the floor of the London Stock Exchange. Kevin spent 20 years as an institutional Foreign Exchange broker, working in the City of London, Wall Street and Germany. He worked at MW. Marshall & Co and The Harlow Butler Group, now part of The ICAP Group. Specialising in Spot USD/Deutschemark and later EURO/USD, Kevin's clients included some of the world's largest investment banks and trading houses. In 2000 Kevin moved to New Zealand, and has spent the last 9 years advising clients on FX risk and hedging, and Futures and Options trading. He has advised clients of all experience, from novice traders to large financial institutions and corporates. His advice is based on market fundamentals and supplemented with daily technical analysis

#### **Qualifications**

- NZX Futures and Options Advisor - Accredited
- ASX Level 2 Accredited Derivatives Advisor

#### **Relevant Interests**

Kevin has a beneficial interest in the Company

#### **Contact Details**

Email: [kevin.morgan@omf.co.nz](mailto:kevin.morgan@omf.co.nz)  
 Business Tel: +64 9 523 1166

### **KEVIN O'SULLIVAN – Head of Financial Markets**

Kevin has over 15 years experience in the financial markets gained in New Zealand and London. Prior to joining OMFfinancial Kevin has held positions with Salomon Smith Barney and Credit Suisse First Boston. Kevin specialises in Futures, Foreign Exchange and particularly Foreign Exchange Options both vanilla and exotic. Kevin's advice is heavily influenced by technical factors affecting the markets combining this with his knowledge of the many products available to take advantage of opportunities that are present.

#### **Qualifications**

- NZX Futures and Options Advisor – Accredited
- SFE Registered Representative
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N

#### **Courses attended**

- Citibank Options Trading Course, Sydney (100% pass mark)

#### **Relevant Interests**

Kevin has a beneficial interest in the Company.

#### **Contact Details**

Email: [kevin.osullivan@omf.co.nz](mailto:kevin.osullivan@omf.co.nz)  
 Business Tel: +64 9 523 1166

### **MARC HALFPENNY - Advisor**

Marc Halfpenny joined OMFfinancial in November 2010 as a Dealer after spending the last 10 years working in New Zealand Financial Markets. Predominantly with ASB, Marc spent over 6 years share broking with ASB Securities, dealing in domestic and offshore equities for Financial Intermediaries. More recently, Marc spent the last 4 years dealing Foreign Exchange and Interest Rate Derivatives for a range of Rural and Commercial clients for both speculative and hedging purposes. Marc holds an NZX Diploma and is a New Zealand Financial Markets Accredited Dealer. Currently specialising in Foreign Exchange, his advice is based on his experience in varying markets, utilising both Technical and Fundamental Analysis for both individual speculative clients and corporate customers

#### **Qualifications**

- NZX Futures and Options Advisor – Accredited
- NZX Diploma
- New Zealand Financial Markets Association Accredited Dealer
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N
- Unit Standard B – National Certificate of Financial Services

#### **Relevant Interests**

Nil



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## Contact Details

Email: [marc.halfpenny@omf.co.nz](mailto:marc.halfpenny@omf.co.nz)  
 Business Tel: +64 9 523 2221

## MARK RIDDEN – Advisor, Night Desk

Mark has 19 years experience in financial markets, including time as Corporate Treasurer at Weddel Crown, Dealer and Client Advisor at the Bank of New Zealand, as well as a number of years as a Spot Trader, Pricemaker on the BNZ Foreign Exchange desk. Mark's role is an OMF Financial Night Dealer during the New York time zone, with primary focus on Foreign Exchange, Commodity and Share Index Futures. Mark uses economic fundamentals and technical analysis to formulate short to medium term views and trading strategies.

## Qualifications

- NZX Futures and Options Advisor - Accredited

## Relevant Interests

Nil

## Contact Details

Email: [mark.ridden@omf.co.nz](mailto:mark.ridden@omf.co.nz)  
 Business Tel: +64 9 523 2221

## MIKE MCINTYRE – Advisor

Mike McIntyre has over 13 years experience in the financial markets, having originally come from an accounting background. He spent 7 years working offshore, mainly in London, for NatWest Markets, Bankers Trust and UBS AG. Prior to his arrival at OMF Financial Mike was an Institutional Equities Broker with UBS NZ Ltd specialising in advising domestic clients on both New Zealand and Australian stocks. Mike has kept up-to-date with relevant changes to the industry through day to day exposure to the markets and by attending internally held training courses where appropriate.

## Qualifications

- NZX Licensed Sharebroker
- NZX Associate Advisor
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N
- National Diploma in Accounting
- Chartered Accountant
- Unit Standard B – National Certificate of Financial Services

## Memberships

- Institute of Chartered Accountants of New Zealand

## Relevant Interests

Nil

## Contact Details

Email: [mike.mcintyre@omf.co.nz](mailto:mike.mcintyre@omf.co.nz)  
 Business Tel: +64 9 524 8712

## NEALE JACKSON - Advisor

In 2000, Neale spent time in the public sector teaching Mathematics to young New Zealanders, and then he moved away from the chalk-face to return to the financial markets with Tricom Securities. During this time Neale gained the highest level (ASX Level 2) qualification and traded Exchange Traded Options predominantly on the ASX. In 2005 Neale joined OMF to participate in the growth of the Contracts for Difference (CFD) product, both within the industry and at OMFfinancial. In 2007 the "Great Financial Crisis" saw the CFD product evolve, and Neale assisted in assisting OMFfinancial re-establish a presence in the global option exchanges, particularly US markets while continuing to expand his market knowledge in global equities, ETO's and CFD's.

## Qualifications

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited
- ASX Level II Option Advisor
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N
- Post Graduate Bachelor of Science
- Post Graduate University Education Diploma

## Relevant Interests

Neale has a beneficial interest in the Company

## Contact Details

Email: [neale.jackson@omf.co.nz](mailto:neale.jackson@omf.co.nz)  
 Business Tel: +64 9 524 8712

## NIGEL BRUNEL – Head of Futures and Equities

Nigel is one of the original OMF team, joining the firm in 1986. He has considerable experience and understanding of futures and equity derivative products working on the Wellington equities desk for 10 years. In 1996, Nigel moved to UBS Warburg to run the Equities Derivatives sales desk in Sydney. In 1998, he set up his own trading company, Multistream, specialising in trading Australian equities and derivatives, which he successfully ran for 9 years before returning to OMFfinancial in late 2007.

## Qualifications

- NZX Licensed Sharebroker
- Futures Trading Certificate
- Sydney Futures Exchange Registered Representative
- New Zealand Futures and Options Exchange Futures Trading Certificate
- Financial Services Institute of Australia - New Zealand Share Market 405N
- Financial Services Institute of Australia - New Zealand Securities Law 508N

**Relevant Interests**

Nigel has a beneficial interest in the Company

**Contact Details**

Email: [nigel.brunel@omf.co.nz](mailto:nigel.brunel@omf.co.nz)  
Business Tel: +64 9 523 1166

**PAUL WEBBER – Advisor**

Paul has had over 25 years experience in all areas of the financial markets. Prior to joining OMFfinancial, Paul spent five years overseas and held positions with the Royal Bank of Canada in London, Citibank in Dublin and Commerzbank in Frankfurt. Paul has had vast experience in helping businesses manage and reduce their Foreign Exchange and business risks through the use of financial market tools available. His advice is based on both fundamental and technical analysis giving clients an even bias to medium term trends.

**Qualifications**

- NZX Futures and Options Advisor - Accredited

**Relevant Interests**

Paul has a beneficial interest in the Company

**Contact Details**

Email: [paul.webber@omf.co.nz](mailto:paul.webber@omf.co.nz)  
Business Tel: +64 9 523 2221

**ROBERT LOVELOCK – Advisor, Night Desk**

Robert Lovelock has over 20 years experience in the financial markets from participatory dealing in local and global markets, portfolio management and in advisory roles. His clientele has ranged from individual traders to interbank/institutional customers. In his first five years of advising his main role was as an interbank broker advising on, and executing trades in the wholesale market. More recently Robert has applied his technical analysis skills in assisting our clients transact their business during the European markets time zone. His knowledge includes an in depth understanding of the world's financial markets and the interaction between equities, interest rates, currencies and commodities.

**Qualifications**

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited

**Relevant Interests**

Robert has a beneficial interest in the Company

### Contact Details

Email: [robert.lovelock@omf.co.nz](mailto:robert.lovelock@omf.co.nz)  
 Business Tel: +64 9 523 2221

### SHARON DICKSON – Advisor

Sharon initially joined OMFfinancial's Operations team after graduating from the University of Auckland with a Bachelor of Commerce in 2003 and an Honours Degree in Economics in 2004. This experience allowed her to gain an intimate knowledge of Futures, Options and Foreign Exchange markets, which she has gone on to utilise as a member of the OMFfinancial dealing team. Sharon has now been on the OMFfinancial dealing desk for four years.

### Qualifications

- NZX Futures and Options Advisor - Accredited
- Bachelor of Commerce, University of Auckland
- Honours degree in Economics, University of Auckland

### Relevant Interests

Nil

### Contact Details

Email: [sharon.dickson@omf.co.nz](mailto:sharon.dickson@omf.co.nz)  
 Business Tel: +64 9 523 1166

### SONYA BARTLETT – Equities Support

Sonya has worked in the financial markets for over 20 years. She initially started as a runner in London on the LIFFE floor working for JP Morgan. Sonya then returned to New Zealand and in 1997 joined the Operations team at Ord Minnett Jardine Fleming (now OMFfinancial). With the experience she gained she was then promoted to manage the Futures Settlement team for 8 years before moving to the Futures Dealing Desk in 2008. In 2009 Sonya took on the roles as Client Information Officer and Equities support.

### Qualifications

- NZX Futures and Options, Module 6 – Accredited
- SFA Registered Representative London, Series 3
- Bachelor of Arts majoring in History, Victoria University
- Diploma in Teaching, Christchurch Teachers Training College

### Courses

- New Zealand Futures and Options Exchange Introduction to Trading and Options
- New Zealand Futures and Options Exchange Introduction to Futures

### Relevant Interests

Sonya has a beneficial interest in the Company



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### Contact Details

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 Business Tel: +64 9 523 1166

### TIM KRONFELD – Senior Advisor

Tim has over 28 years in financial markets initially working in fixed interest and then equities where he gained a broad base of experience with sharebrokers Jordon Sandman Smythe & Co, Cavill White Securities Limited and Ord Minnett NZ Limited. He has also held positions with The Standard Bank of South Africa Limited and HSBC. Tim has a broad based experience in all financial markets.

### Qualifications

- NZX Futures and Options Advisor - Accredited
- Financial Services Institute of Australia – New Zealand Share Market 405N
- Financial Services Institute of Australia – New Zealand Securities Law 508N
- Bachelor of Business Studies, Massey University

### Relevant Interests

Tim has a beneficial interest in the Company

### Contact Details

Email: [tim.kronfeld@omf.co.nz](mailto:tim.kronfeld@omf.co.nz)  
 Business Tel: +64 9 523 1166

### WAYNE DICKSON – Advisor, Night Desk

Wayne joined OMF in October 1999 after holding financial market roles with Deutsche Bank Sydney, JP Morgan Sydney, Macquarie Bank Sydney, CSFB Sydney and Republic National Bank of New York. He has experience in trading rooms in New Zealand, Australia and England futures markets, as well as the U.S markets. He has knowledge of many markets ranging from commodities through to currencies.

### Qualifications

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited
- Futures Industry (US) Series 3
- New Zealand Futures and Options Exchange Trading systems operator
- Sydney Futures Exchange Trading systems operator
- Bachelor of Arts - Double Major in Anthropology and Ancient History

### Relevant Interests

Wayne has a beneficial interest in the Company

### Contact Details

Email: [wayne.dickson@omf.co.nz](mailto:wayne.dickson@omf.co.nz)  
 Business Tel: +64 9 523 2221

## WELLINGTON

Level 2, National Chambers  
15 Johnston Street  
WELLINGTON

### MARTIN RUDINGS – Advisor

Martin has 25 years experience in the financial markets. Prior to joining OMF in 2006 Martin held several senior positions including Manager, Treasury Department, New Zealand Telecom managing foreign exchange exposures, cash flows and a substantial debt book. Martin held several offshore positions including roles in Sydney, New York and London as well as Chief Dealer roles for Elder Bank, AMP Financial Corporation, Nat West Sydney. His advice is based on a strong technical analysis backed by supportive fundamentals.

#### Qualifications

- NZX Futures and Options Advisor - Accredited
- Financial Services Institute of Australia - New Zealand Securities Law 508N

#### Courses attended

- Citibank Bourse Course, Kuala Lumpur (1<sup>st</sup> overall)
- Chase AMP Synthetic Instruments
- David Forman Technical Analysis, Sydney

#### Relevant Interests

Nil

#### Contact Details

Email: [martin.rudings@omf.co.nz](mailto:martin.rudings@omf.co.nz)  
Business Tel: +64 4 499 0028

### MARK JOHNSON – Advisor

Mark Johnson has worked in the financial markets since 1984, the large part as an interbank money broker in Foreign Exchange and Money Markets and has recently moved to advising private clients. Using his knowledge of the global markets, his advice draws on both technical and fundamental analysis in helping clients formulate their trading strategies.

#### Qualifications

- NZX Licensed Sharebroker
- NZX Futures and Options Advisor - Accredited

#### Relevant Interests

Mark has a beneficial interest in the company

## Contact Details

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## CHRISTCHURCH

Level 6  
 180 Manchester Street  
 CHRISTCHURCH

### CHRIS RICH – Advisor

Chris has over 20 years experience in financial markets in New Zealand and United Kingdom including Money Markets, Foreign Exchange, Treasury, Capital Markets, Risk Management and Offshore Banking. Chris has held senior positions in Southpac, National Bank of New Zealand, Lloyds Bank (UK) and was an advisor to HBOS (UK) before returning to New Zealand.

### Qualifications

- Financial Services Institute of Australia - New Zealand Securities Law 508N
- Kaplan Professional – New Zealand Stock Market 405N - High Distinction
- Bachelor of Agricultural Commerce (Economics)

### Courses attended

- International Bankers Summer School – Cambridge UK
- Australia/NZ Bankers Course - Asia

### Memberships

- New Zealand Absolute Return Association
- New Zealand Financial Markets Association

### Relevant Interests

Nil

### Contact Details

Email: [chris.rich@omf.co.nz](mailto:chris.rich@omf.co.nz)  
 Business Tel: +64 3 366 3804

### DEBRA BIRCH – Advisor

Debra is a Futures and Foreign Exchange dealer for OMFfinancial. Debra's experience spans 30 years in the Financial Markets both trading and managing portfolios in money market, foreign exchange, fixed income, and futures products. She has held senior positions in Asia at HSBC, Bank of America and BNZ as well as having established a CTA in Australia.



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### Qualifications

- NZX Futures and Options Advisor - Accredited
- SFE Registered Representatives
- Bank of Montreal Dealing Game, Toronto
- Investment Analysis, Otago University
  
- Financial Services Institute of Australia – New Zealand Share Market 405N (enrolled)
- Financial Services Institute of Australia – New Zealand Securities Law 508N (enrolled)

### Courses attended

- Citibank Bourse Course, Hong Kong
- Euromoney Volatility, Hong Kong
- Financial Futures and Hedging, Canberra, Australia

### Memberships

- Institute of Directors
- New Zealand Absolute Return Association

### Relevant Interests

Nil

### Contact Details

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