

## Disclosure Statement (Registered Financial Adviser)

Name of financial adviser	James Davies	Registration number	FSP442706
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Trading name	OM Financial Limited		
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This disclosure statement was prepared on:

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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.

### What sort of adviser am I?

I am a registered, but not authorised, financial adviser. I can give you class advice about:

Foreign exchange contracts	<input checked="" type="checkbox"/>	Options	<input checked="" type="checkbox"/>	Equities	<input type="checkbox"/>
Futures contracts	<input checked="" type="checkbox"/>	Contracts For Difference (CFDs)	<input type="checkbox"/>	Bonds	<input type="checkbox"/>

### 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 fix the problem. You may contact the internal complaints scheme by contacting OMF's Operational Risk and Compliance Manager:

#### Attn: Operational Risk & Compliance Manager

T: +64 9 520 9310  
 F: +64 9 520 9323  
 E: complaints@omf.co.nz

#### Physical Address

Level 2, 37 Galway Street  
 Britomart  
 Auckland

#### Postal Address

PO Box 5830  
 Wellesley Street  
 Auckland

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact Financial Services Complaints Limited (FSCL). This service will cost you nothing, and will help us resolve any disagreement. You can contact FSCL at—

#### Contact

T: +0800 347257 /  
 +64 4 472FSCL (472 3725)  
 F: +64 4 472 3728  
 E: info@fscl.org.nz

#### Physical Address

13th Floor  
 45 Johnston Street  
 Wellington

#### Postal Address

PO Box 5967  
 Lambton Quay  
 Wellington 6145

**How am I regulated by the government?**

You can check that I am a registered financial adviser at [www.fspr.govt.nz](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, **James Davies** 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