



Primary Disclosure Statements

5 June 2019

Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	Alan Lee FSP25088
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 21 940250 Fax +64 9 3081455
Email	alan.lee@jmiwealth.co.nz

This disclosure statement was prepared on 13 February 2019.

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 Services

When I do this, I will be able to provide a service 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 employer 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 employer and I 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 a 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 me so that we can try to fix the problem.

If we cannot agree on how to fix the issue, you can contact the Insurance and Financial Services Ombudsman Scheme of which JMI Wealth Limited is a member. This service will cost you nothing, and will help us resolve any disagreements.

You can contact the Insurance and Financial Services Ombudsman Scheme at:

Address:	PO Box 10-845 Wellington 6143
Telephone number:	0800 888202
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 ask me.

If you have a question about financial advisers generally, you can contact the Financial Markets Authority.

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 authorises and 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, Alan David Lee, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	Andrew Kelleher FSP25221
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 21 587374 Fax +64 9 3081455
Email	andrew.kelleher@jmiwealth.co.nz

This disclosure statement was prepared on 13 February 2019.

It is important that you read this document

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

Payment type

- ☐ Fees only
- ☒ Fees
- ☒ Commissions
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Declaration

I, Andrew Martin Kelleher, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	Jonathan Westoby FSP25202
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 21 2650098 Fax +64 9 3081455
Email	jonathan.westoby@jmiwealth.co.nz

This disclosure statement was prepared on 13 February 2019.

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

Payment type

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Declaration

I, Jonathan Mark Westoby, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	Jason Watson FSP115825
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 27 322 9711 Fax +64 9 3081455
Email	jason.watson@jmiwealth.co.nz

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Declaration

I, Jason Patrick Watson, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	James Grey FSP553167
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 27 544 5707 Fax +64 9 3081455
Email	james.grey@jmiwealth.co.nz

This disclosure statement was prepared on 13 February 2019.

It is important that you read this document

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

Payment type

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If you need to know more, where can you get more information?

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If you have a question about financial advisers generally, you can contact the Financial Markets Authority.

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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 Timothy Grey, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	William Temuera Robert Hall (Temuera) FSP42643
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 21 721 857 Fax +64 9 3081455
Email	tem.hall@jmiwealth.co.nz

This disclosure statement was prepared on 13 February 2019.

It is important that you read this document

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

Payment type

- ☐ Fees only
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- ☒ Non-financial benefits from other organisations

Description

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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 principal depending upon the decisions that you make.

Other organisations may give my principal and I 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 a service.

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Declaration

I, Tem Hall, 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:



Authorised Financial Adviser Primary Disclosure Statement

Name & Registration No.	Lynette Ball FSP48924
Address	PO Box 33 1106, Takapuna, Auckland 0740 Level 1, 87 Hurstmere Road, Takapuna, Auckland 0622
Trading Name	JMI Wealth Limited
Contact Numbers	Work +64 9 3081450 Mobile +64 27 569 8694 Fax +64 9 3081455
Email	lynette.ball@jmiwealth.co.nz

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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, Lynette Ball, 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:

