



## Primary Disclosure Statement Authorised Financial Adviser

Name: Michael James Shaw

FSP Registration number: FSP28521

Physical address: 61 Algernon Road, RD2, Hastings 4172

Postal address: P O Box 1266, Hastings 4156

Trading name: Wealth Building Strategies Limited

Telephone number: 06 876 5994

Email address: mike@wealth.net.nz

This disclosure statement dated Friday, 1 July 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 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
- Discretionary investment management 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  | My services are paid for by the fees that you pay as well as in other ways.  |
| <input 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"/> 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 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 else should you know about me?**

### **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 to fix the problem.

If a satisfactory resolution cannot be found then the Institute has a Complaints Resolution Procedure for your protection. They can be contacted on (04) 499 8062 at any time during normal business hours (8.30 am to 5.00 pm) or,

The Chief Executive  
Institute of Financial Advisers  
PO Box 5513  
Wellington 6011

Level 6, TeRenco House, Wellington.

I am also a participant in the ISO Insurance & Savings Ombudsman Scheme Incorporated. The ISO scheme provides consumers with the opportunity of resolving their disputes with a participating financial services provider. Information on making a complaint can be found by visiting [www.iombudsman.org.nz](http://www.iombudsman.org.nz) or writing to;

Office of the ISO  
P O Box 10-845  
Wellington 6143

A complaint may also be made to the Financial Markets Authority by completing FORM: FAA 04A available from the;  
Financial Markets Authority  
P O box 1179  
Wellington 6140

**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, Michael James Shaw, 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: 

Date: Friday, 1 July 2011

Enclosure: Client acknowledgement

**Client acknowledgement**

I,..... acknowledge receipt of the disclosure statement version 1.0 dated Friday, 1 July 2011 for Michael James Shaw and Wealth Building Strategies Limited.

Signed..... Date.....

Signed..... Date.....