



**DISCLOSURE STATEMENT  
NEIL JAMES SWANNEY  
(Registered Financial Advisor)  
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This Disclosure Statement was prepared on the 28<sup>th</sup> of June 2016

**It is important that you read this document!**

This information will help you to choose a Financial Advisor that best suits your needs. It will also provide some useful information about the Financial Advisor that you choose.

**What sort of advisor am I?**

I am a registered, but not authorised, financial advisor.

I can give you advice about: managing your personal and business financial risk through the use of insurance contracts (Life, Disability, Trauma, and Medical). All these are known as Class 2 products under the Financial Advisors Act 2008.

**What should I do if something goes wrong?**

If you have a problem, concern or complaint about my service, please tell me so that I can try to fix the problem. If we cannot agree on how to fix the issue, you can contact the Insurance & Financial Services Ombudsman Scheme Inc. (IFSO). This service is free of charge and will help us to resolve any disagreements.

You can contact the Insurance & Financial Services Ombudsman Scheme Inc. at –

Physical Address: Level 11, Classic House, 15-17 Murphy St, Wellington 6011  
Postal Address: P.O. Box 10-845, Wellington 6143  
Phone & Fax: 0800 888 202 or (04) 499 7612 Fax: (04) 499 7614  
E-Mail: [info@ifso.nz](mailto:info@ifso.nz)

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

You can check that I am a Registered Financial Advisor at: [www.fspr.govt.nz](http://www.fspr.govt.nz)

The Financial Markets Authority regulates Financial Advisors. Contact the Financial Markets Authority for more information, including financial tips and warnings: [www.fma.govt.nz](http://www.fma.govt.nz), PO Box 1179, Wellington 6140, (04) 472 9830.

You can report information or complain about my conduct to the FMA, but in the event of a disagreement, you may choose to use the dispute resolution procedures, described above (**What should you do if something goes wrong?**)

**Declaration**

I, Neil James Swanney, 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 Advisors Act 2008 and the Financial Advisors (Disclosure) Regulations 2010

Signed: \_\_\_\_\_ Neil Swanney