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**COMPLETE**

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**Q1** Overall, do you agree or disagree with [standard 1] and proposed commentary? **Agree**

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**Q2** Please provide any comments on [standard 1] and the proposed commentary. **Respondent skipped this question**

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**Q3** Overall, do you agree or disagree with [standard 2] and proposed commentary? **Agree**

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**Q4** Please provide any comments on [standard 2] and the proposed commentary. **Respondent skipped this question**

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**Q5** Overall, do you agree or disagree with [standard 3] and proposed commentary? **Agree**

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**Q6** Please provide any comments on [standard 3] and the proposed commentary. **Respondent skipped this question**

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**Q7** Overall, do you agree or disagree with [standard 4] and proposed commentary? **Agree**

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**Q8** Please provide any comments on [standard 4] and the proposed commentary. **Respondent skipped this question**

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**Q9** Overall, do you agree or disagree with [standard 5] and proposed commentary? **Agree**

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**Q10** Please provide any comments on [standard 5] and the proposed commentary.

An Adviser must give advice, they should not be an order taker, particularly where a risk questionnaire is completed, answer to the risk questionnaire should be challenged to gain full understanding of responses by both Client and Adviser, otherwise wrong choices may be made.

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**Q11** Overall, do you agree or disagree with [standard 6] and proposed commentary? **Agree**

**Q12** Please provide any comments on [standard 6] and the proposed commentary. **Respondent skipped this question**

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**Q13** Overall, do you agree or disagree with [standard 7] and proposed commentary? **Agree**

**Q14** Please provide any comments on [standard 7] and the proposed commentary. **Respondent skipped this question**

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**Q15** Overall, do you agree or disagree with [standard 8] and proposed commentary? **Agree**

**Q16** Please provide any comments on [standard 8] and the proposed commentary. **Respondent skipped this question**

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**Q17** Overall, do you agree or disagree with [standard 9] and proposed commentary? **Don't know**

**Q18** Please provide any comments on [standard 9] and the proposed commentary.

How will the FAP know what is required to demonstrate;

that they give financial advice only through individuals who can demonstrate the standard and that they have procedures, systems and expertise that together mean that the entity has the capabilities equivalent to those of an individual who alone has achieved the general qualification outcomes ? and that these are measurably demonstrated.

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**Q19** Overall, do you agree or disagree with [standard 10] and proposed commentary? **Don't know**

**Q20** Please provide any comments on [standard 10] and the proposed commentary.

How is this measured ?

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**Q21** Overall, do you agree or disagree with [standard 11] and proposed commentary? **Don't know**

**Q22** Please provide any comments on [standard 11] and the proposed commentary.

How measured. Unsure as to who will decide which is the ideal plan, particularly with several providers offering what their best plan is, is one better than another, is there a preference of university styled plans as opposed to commercial compliance operators - seems to open up to subjectivity ?

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**Q23** Overall, do you agree or disagree with [standard 12] and proposed commentary? **Respondent skipped this question**

**Q24** Please provide any comments on [standard 12] and the proposed commentary.

Entities - while strand outcomes may be followed, how are the procedures etc., measured and to what standard?

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**Q25** Is there anything missing from the draft Code? **Unsure**

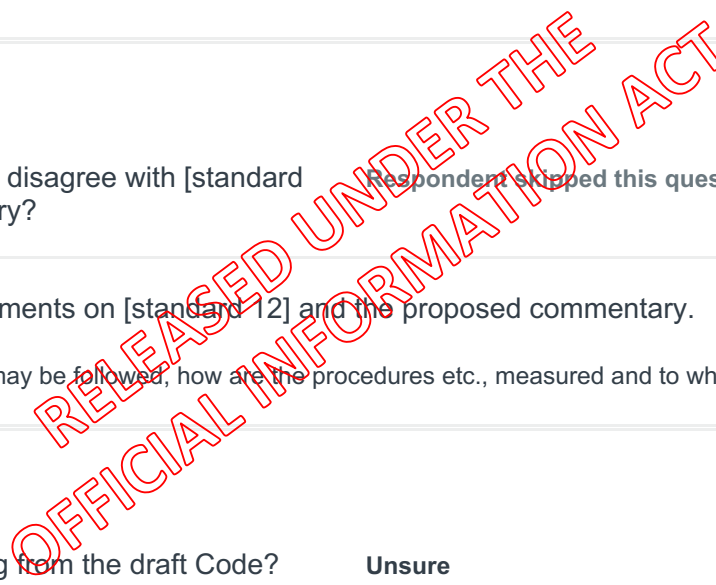
**Q26** If you answered yes, what is missing? **Respondent skipped this question**

**Q27** Do you have any feedback on the examples, or suggestions on other examples that should be included in the draft Code? **Respondent skipped this question**

**Q28** Is there anything else you want to say?

Very disappointed PDIMS is being absorbed, my Clients have clearly benefited from the experience. My intention is that I will still operate my business with the continuing spirit of PDIMS as this Clearly places the Client first in all instances.

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**Q29 Name**

Alistair Bean

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**Q30 Your role or professional title**

Managing Director

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**Q31 Individual or organisational submission**

**This is an individual submission and not on behalf of an organisation**

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**Q32 If you give financial advice...**

**I am an AFA**

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**Q33 My organisation or I give the following types of advice...**

**Investments,  
Financial planning,  
Life and/or health  
insurance**

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**Q34 Organisation Name**

Alistair Bean & Assoc's Financial Services Limited

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**Q35 Type of organisation**

**Independent adviser**

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**Q36 Size of organisation**

**Small firm (1-10 staff)**

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**Q37 If there are other things we should know about you or your business that would provide context to your answers, please provide details below.**

**Respondent skipped this question**

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**Q38 Please indicate whether your submission contains any information that is confidential or whether you do not wish your name or any other personal information to be included in a summary of submissions.**

nil

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**Q39 Please provide your contact details (email and/or phone number) This is the only question that requires an answer. This information would not be released publicly. We may get in touch with you in order to help us understand particular points from your submission.**

s 9(2)(a)

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