

#43

COMPLETE

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

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**

Q4 Please provide any comments on [standard 2] and the proposed commentary.

Advisers should be bound to advertise fairly, not make misleading statements and not act aggressively should legitimate complaints be made against them

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

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**

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. **Respondent skipped this question**

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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.

where a complaint to the FMA is made about any allegation that brings the sector into disrepute, the FMA should act quickly and efficiently and be able to sanction the adviser - esp. if they are repeat offender

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Q17 Overall, do you agree or disagree with [standard 9] and proposed commentary? **Disagree**

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

Advisers that have equivalent degree - e.g. fiancé or law-related Batchellors degree should be considered equiv; any master's degree consider equiv. Insurers should be made to demonstrate at time of adviser enrollment that agents have adequate English knowledge to comprehend policies in English

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Q19 Overall, do you agree or disagree with [standard 10] and proposed commentary? **Agree**

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

Respondent skipped this question

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Q21 Overall, do you agree or disagree with [standard 11] and proposed commentary?

Disagree

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

Respondent skipped this question

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Q23 Overall, do you agree or disagree with [standard 12] and proposed commentary?

Disagree

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

Respondent skipped this question

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Q25 Is there anything missing from the draft Code?

No

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?

revise qualification requirements

Q28 Is there anything else you want to say?

Respondent skipped this question

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Q29 Name

Andrew Parsons

Q30 Your role or professional title

Director

Q31 Individual or organisational submission

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

Code Working Group - Online Submission Form

Q32 If you give financial advice...

**I am not an AFA, RFA or QFE
adviser**

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

**My organisation or I do not give financial
advice**

Q34 Organisation Name

Braemar Consulting Ltd

Q35 Type of organisation

Other (please
specify):
Not FA related

Q36 Size of organisation

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

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

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.

Respondent skipped this question

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)