

#38

COMPLETE

Collector: Web L nk 3 (Web L nk)
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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. **Respondent skipped this question**

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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.

The example could be replaced by something more meaningful than a bank tender "se" products rather than providing financial advice

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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.

I am not sure how the FMA could apply this standard, in practice

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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.

The minimum standards are too low in New Zealand and I would have expected for New Zealand to pick up the pace and require more than the New Zealand Certificate in Financial Services (Level 5)

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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 commentary.

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.

Need to have higher competence, knowledge and skills

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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?

Respondent skipped this question

Q28 Is there anything else you want to say?

Please improve the minimum qualifications and restrict it to qualified individuals/nstitutions. Too many times do find accountants giving financial advice without any understanding of financial markets. It is dangerous for our clients and industry.

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Q29 Name

Respondent skipped this question

Q30 Your role or professional title

Authorised Financial Adviser

Code Working Group - Online Submission Form

Q31 Individual or organisational submission

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

Q32 If you give financial advice...

I am an AFA

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

**Investments,
Financial planning**

Q34 Organisation Name

Respondent skipped this question

Q35 Type of organisation

Financial advice firm

Q36 Size of organisation

Medium firm (10-50 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.

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