

#79

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.

Peer reviews for client fees over \$5K p.a. to ensure adviser has informed client of costs. Suggest confirm costs at annual review.

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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.

Clear rules for scope of service at the outset, and highlighting any limitations of service.

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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? **Disagree**

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

Any advice given should be via an Authorised Financial Adviser.

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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.

When you tell someone (a Bank Staff member in my case) that you wish to make a formal complaint, then that should be actioned and proceeded accordingly. Not dismissed with no action.

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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? **Agree**

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

As long as the Level 5 and subsequent training and CPD can be seen to be related to the scope of the advice.

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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?

Agree

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?

Agree

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?

Respondent skipped this question

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?

Respondent skipped this question

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Q29 Name

Graeme Ryan

Q30 Your role or professional title

Director and Investment Adviser

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

Q34 Organisation Name

Graeme Ryan Investment Advisers

Q35 Type of organisation

Independent adviser

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)