

# #91

**COMPLETE**

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**Started:** Thursday, November 08, 2018 1:23:22 PM  
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**Time Spent:** Over a day

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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. **Respondent skipped this question**

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

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**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**

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

This standard could be shorter given that what constitutes a complaint and the process is dealt with elsewhere.

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

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**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**

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

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

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

I accept and endorse the principles based approach to the draft Code however this standard appears to be particularly high level. Perhaps a commentary on what "this would usually include....." (without setting out hours) would be helpful - a similar approach to that taken in Standard 1 to describe "Fairly".

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

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**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**

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**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**

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

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**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**

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

The draft Code is concise, principles based and avoids being a "rule book". This ought to encourage good behaviour rather than just "sticking to the rule".

The process to date has been open and it is clear that much of the feedback from earlier consultations has been incorporated into this draft.

This approach is both welcomed and appreciated.

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**Q29 Name**

Tony Dench

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**Q30 Your role or professional title**

CEO

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**Q31 Individual or organisational submission**

**This is a submission on behalf of an organisation (eg employer)**

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

**Respondent skipped this question**

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

**Investments,  
Mortgages,  
Life and/or health  
insurance**

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**Q34 Organisation Name**

SHARE

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**Q35 Type of organisation**

**Respondent skipped this question**

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**Q36 Size of organisation**

**Respondent skipped this question**

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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.**

**Respondent skipped this question**

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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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