

# ASB Securities Disclosure Statement

## Financial Advisers Act 2008

This disclosure statement relates to financial adviser services provided by ASB Securities Limited (**ASB Securities**) to retail clients through Qualifying Financial Entity (**QFE**) advisers in relation to the following financial products:

- term deposits issued by ASB Bank Limited (**ASB Bank**) (a member of the ASB Bank QFE Group (described below))
- transaction and savings accounts issued by ASB Bank.

This disclosure statement does not relate to financial adviser services in relation to other financial products, such as securities. It was prepared on 1 July 2016.

**Name:** ASB Securities Limited  
**Trading name:** ASB Securities Limited  
**Main place of business:** ASB North Wharf  
12 Jellicoe Street, Auckland 1010  
**Phone:** 0800 272 732  
**Email:** [asbsecinfo@asb.co.nz](mailto:asbsecinfo@asb.co.nz)

### It's important to read this document

This information is important. It should help you make an informed decision on which financial adviser to choose. We may also give you other information that can help with the financial decisions you make.

### What sort of adviser are we?

ASB Securities Limited is a member of a QFE group called the **ASB Bank QFE Group**. ASB Securities is an associated entity in the Group. ASB Bank has primary responsibility for the Group.

Employees of the ASB Bank QFE Group acting on behalf of ASB Securities (**our ASB Securities advisers**) may provide you with financial adviser services relating to the financial products outlined above.

ASB Securities and ASB Bank take responsibility for the financial adviser services you get from our ASB Securities advisers. We'll ensure our ASB Securities advisers exercise care, diligence and skill in providing financial adviser services to you.

### What are our products and services?

This disclosure statement relates to financial adviser services that ASB Securities offers to retail customers in relation to the following financial products:

- term deposits issued by ASB Bank (a member of the ASB Bank QFE Group)
- transaction and savings accounts issued by ASB Bank

If your ASB Securities adviser can't help with the advice you need, they'll refer you to another adviser in the ASB Bank QFE Group who can.

## What should you do if something goes wrong?

If you have a problem, concern, or complaint about our products or financial adviser services, please let us know so we can try to fix the issue. You can do this in several ways:

- call our Online and Telephone Trading Team on **0800 272 732** or **(09) 448 8120**
- contact a Customer Care Manager on **0800 803 804** or **(09) 377 8930**

If we can't find a way to fix the issue, you can also contact Financial Services Complaints Limited (FSCL), who may be able to help.

You can contact FSCL at:

Address: **PO Box 5967  
Wellington 6145**

Phone: **0800 347 257**

Email: **info@fscl.org.nz**

You can also report information about the ASB Bank QFE Group or any of our ASB Securities advisers to the Financial Markets Authority using the contact details below.

## How is ASB Securities regulated?

The ASB Bank QFE Group (including ASB Securities and ASB Bank) is licensed and regulated by the Financial Markets Authority to provide financial adviser services, a discretionary management service and to issue derivatives to retail investors. ASB Group Investments Limited, another member of the ASB QFE Group, is licensed and regulated by the Financial Markets Authority as a manager of registered managed investment schemes. If you're interested, you can check the status of ASB Securities, ASB Bank and which other entities are members of the ASB Bank QFE Group on the register of financial service providers at **fspr.govt.nz**

ASB Bank is also a registered bank, registered with and supervised by the Reserve Bank of New Zealand.

## Where can you find out more?

You can find out more about financial advisers from the Financial Markets Authority. You can contact it at:

Web: **fma.govt.nz**

Address: **PO Box 1179  
Wellington 6140**

Phone: **0800 434 567**

