

Disclosure Statement (Financial Adviser)

Name of Financial Adviser: Dana Hopkirk
FSP Number: FSP1012012
Qualification: Financial Services (General Insurance Level 5)
Address: Suite 2, Level 1, 20 Augustus Terrace Parnell, Auckland
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Website: <https://www.nnibrokers.co.nz/about/team>

It is important that you read this document.

It will help you (**the client**) make an informed decision whether I as a financial adviser that gives advice for products, are suitable for your needs and whether to seek, follow or accept the financial advice I give. This Disclosure Statement is required under the Financial Markets Conduct (Regulated financial advice Disclosure) Amendment Regulations 2020.

What sort of advisers are we?

I am a Registered Financial Adviser (RFA) that gives advice on behalf of Neville Newcomb Insurance Brokers who is a licensed financial adviser Provider and Authorised Body by the Financial Market Authority of New Zealand (FMA) <https://www.fma.govt.nz/>. Financial Services Legislation Amendment Act 2019 requires Neville Newcomb Insurance Brokers to hold a current license for our advisers to provide financial advice Services to our Clients.

To view my registration and Neville Newcomb Insurance Brokers license go to the Financial Service Providers Register <https://fsp-register.companiesoffice.govt.nz/> and search our Financial Service Provider (FSP) number FSP27321, or click on the link to go directly to our registration <https://app.companiesoffice.govt.nz/fsp/app/ui/fsp/version/searchSummarycompanyFSP/FSP27321.do>

As a Licensed Financial Adviser Provider, we have Standard Conditions on our license, these conditions are not specific to Neville Newcomb Insurance Brokers and does not limit or restrict Advice that may be given.

As a Licensed financial adviser Provider, we have the following specific Conditions on our license that limit and restrict the advice we may give.

- None Applicable

What financial advice can we provide to you?

I can give financial advice on Insurance Products for Commercial and Domestic clients.

Our Insurance product providers are Insurance business in New Zealand that are licensed under the Reserve Bank under section 19 of the Insurance (Prudential Supervisor) Act 2010. The Insurers have a financial strength rating from an approved rating agency. To view the Insurer ratings click on the link <https://www.rbnz.govt.nz/regulation-and-supervision/insurers/licensing/register>.

Neville Newcomb Insurance Broker's Insurance product providers are required to have financial strength ratings with a minimum of **B-** and above. When you receive a quote from us you will be supplied the current strength ratings for the product providers that we have quoted for. If you accept the financial advice, we will supply a current rating for the product provider that you have selected.

Limitations and restrictions

I am committed to providing my clients with good financial advice that is suitable for my client's needs. I only provide financial advice on Insurance Products.

P (09)377 3393
Toll Free 0800 921 234

PO Box 37-545 Parnell, Auckland 1151
Suite 2, Level 1, 20 Augustus Terrace, Parnell



What fees do we charge?

We may charge clients fees for financial advice. We will tell you what the fee is before you accept any advice from us or our Advisers. We will charge fees that are payable by you the client when our advice is followed, accepted and the insurance policy is purchased. The fees we charge are for our service, placement, implementation and administration of the insurance policies that you choose to accept and purchase. The total fees payable may increase with the number of insurance policies that you choose to purchase.

The fees are payable by you and are due by the effective date of the policy which is on the invoice.

How do we act with Integrity?

To ensure that I prioritise your interests above our own, I follow an advice process that ensures recommendations are made on the basis of your individual goals and circumstances. I complete annual and ongoing training about how to manage conflict of interests and a register of interests is maintained. Neville Newcomb Insurance Brokers monitor these registers and provides additional training where necessary. Neville Newcomb Insurance Brokers perform an annual review of our compliance programme.

You should be aware there are potential conflicts of interest that you the Client may need to take into consideration when you decide to seek and accept financial advice from us, I will make you aware of any conflicts when giving advice.

How do we get paid for the financial advice and Products that we provide to you?

Neville Newcomb Insurance Brokers and our Advisers **do not** receive any commission or other incentives for giving Financial Advice. Neville Newcomb Insurance Brokers and our advisers **do receive** commission when the client accepts our financial advice and purchases an insurance policy. The commission is paid by the Insurer (product provider's) for the insurance business on each insurance policy that the Client purchases. **The commission is paid to us and our Advisers and can be between the range of 0-30% of the insurer portion (total premium of the Insurance Policy less government levies and taxes).**

NZbrokers Management Limited

We are a member of NZbrokers Management Limited, NZbrokers Management Limited provides services such as IT, education, training, technical insurance product and claims support and group member benefits to us. When a client accepts our financial advice as your adviser and purchases a policy NZbrokers may receive a service fee or technology fee from the Product Provider.

How can you depend on the Advice you receive?

I have not been subject to any other reliability events that would influence you the client in deciding whether to seek or obtain advice from us or our adviser's.

How to make a Complaint

If you have a problem, concerns or you are dissatisfied with either a product or financial advice Service that have been provided by Neville Newcomb Insurance Brokers or myself and you require action to be taken please tell us so that we can help and fix the issue. To make a Complaint please follow this link www.nnibrokers.co.nz which will give details on our Complaints Process and how to make a Complaint.

If a complaint is received Neville Newcomb Insurance Brokers will approach all complaints with an open mind, listen and treat each complainant as an individual and with courtesy and respect. We will promptly acknowledge the complaint at the earliest possible opportunity and make every attempt will be made to resolve your complaint in a timely manner, with staff escalating as necessary to Directors.

You will receive a written decision, remedies and resolution as soon as practicable after Neville Newcomb Insurance Brokers has decided the outcome.

What to do if you are not satisfied after making a Complaint

If you feel your complaint is not resolved to your satisfaction using the Neville Newcomb Insurance Brokers complaints process, or you are unsatisfied with the response or resolution, you can contact **Insurance & Financial Services Ombudsman Scheme. IFSO** is a dispute resolution scheme of which we are a member. This service **will cost you nothing** and is independent service that will help investigate or resolve the complaint. You can click on this link to find out how to make a complaint to Insurance & Financial Services Ombudsman <https://www.ifso.nz/>

You can contact IFSO at:

Postal Address: P.O. Box 10-845, Wellington 6143

Email: info@ifso.nz

Telephone: 0800 888 202

Website: <http://www.ifso.nz/>

What are my duties as an adviser?

As a financial adviser I give financial advice to clients on Neville Newcomb Insurance Broker's behalf, when giving advice I must:

- Hold a Level 5 New Zealand Certificate in Financial Services
- Maintain competence, knowledge and skills for giving financial advice by completing continuing professional development.
- Abide by the Code of Professional Conduct for Financial Services and have Ethical behaviour, good conduct and provide client Care.
<https://www.mbie.govt.nz/assets/a96d1b4800/code-of-professional-conduct-for-financial-advice-services.pdf>
- Listen to the client carefully to discover their needs.
- Recommend products or services that meet the client needs and explain why.
- Give clear and concise communication
- Protect clients information
- Give priority to the client's interests when giving financial advice

Who licenses and regulates us?

The Financial Markets Authority (FMA). You can report information about us to the Financial Markets Authority at: <https://www.fma.govt.nz/contact/> or email questions@fma.govt.nz but if you want to complain you should use our dispute resolution procedures described under **How to make a Complaint?** And **What to do if you are not satisfied after making a complaint?**

This disclosure statement was prepared on: 6th March 2026

Signed:



Dana Hopkirk

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