

Important Information

about your Financial Adviser

Name: Nicola (Nicki) Smith
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What sort of adviser am I?

I am a Financial Adviser providing advice on behalf of Quantum Finance NZ Ltd - **FSP 748272**

My qualifications

Level 5- NZ Certificate in Financial Services, specialising in:

- Residential Property Lending
- Investment (KiwiSaver)
- Life, Disability & Health Insurance

My duties

I am bound by the duties of the Financial Markets Conduct Act to meet the standards of competence, knowledge and skill as set out in the Code of Conduct for Financial Advice Providers. I give priority to my clients' interests and I exercise care, diligence and skill. I meet the standards of ethical behaviour, conduct and client care as set out in the Code of Conduct.

Accreditations

Banks & Lenders I'm accredited with:

Residential & Commercial Lending

- | | | | | |
|------------|---------------------|------------------------|---------------------|----------------------|
| • ANZ | • ASAP Finance | • Cressida Capital | • Liberty Financial | • The Lending People |
| • ASB | • Avanti Finance | • DBR | • Pallas Capital | • Unity |
| • BNZ | • Basecorp | • Finbase | • Plus Finance | • Vincent Capital |
| • Kiwibank | • Bizcap | • First Mortgage Trust | • Prospa | • XCEDA Finance |
| • TSB | • CFML | • Funding Partners | • Southern Cross | • XE Money |
| • Westpac | • Co-operative Bank | • Heartland Bank | | |

Commercial Lending

- | | | | |
|----------------------------|-----------------------------|-----------------------------|--------------------------|
| • Apricity Invoice Finance | • Fico Finance | • Lock Finance | • Quay Capital |
| • Arrow Finance | • FIFO Capital NZ | • Metro Finance | • ScottPac |
| • Atlas Capital | • Flexi Capital | • Mount Capital | • Select Asset Finance |
| • Auckland Finance | • Flexy | • Norfolk Mortgage Trust | • Silver Harbour Capital |
| • Bank of Queensland | • Fortis Capital | • NZ Mortgages & Securities | • Speirs Finance |
| • Basecorp | • Fortland Capital | • Omega Capital | • Tiaki Capital |
| • Better Finance | • General Finance | • Oxford Finance | • Torrent Securities |
| • Bridging Finance Group | • Homesecc Business Finance | • Pallas Capital | • TPT Finance |
| • CFI Finance | • Killarney Capital | • Partners Finance | • UDC |
| • Conrad Funds Management | • Line Capital | • Pearlfisher Capital | |
| • Cranleigh Partners | • Live Capital | • Pioneer Finance | |

KIWISAVER

✓ Milford ✓ Booster ✓ Generate ✓ Kōura ✓ NZ Funds

I only provide financial advice on these KiwiSaver schemes. I won't be considering whether you're investing in other investment products such as managed investment schemes.

Professional Memberships

I am a current member of the **KAN** (Kiwi Adviser Network) Mortgage Aggregation Group, and I am a participating member of the **Financial Services Complaints Ltd (FSCL)** Disputes Resolution Group.

Further Information

Full details on Fees & Expenses, Conflicts of Interest, and how we handle complaints, are on our website: www.quantumgroup.nz/our-obligations/

This information is available in writing. Please email the address below if you would like a copy.

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