

Kingshield

INVESTMENTS

Public Disclosure Statement

Licensing information	<p>Kingshield Investments Limited (FSP539547 and trading as Kingshield) is a Financial Advice Provider (FAP) licensed and regulated by the Financial Markets Authority (FMA) to provide financial advice.</p>
Nature & scope of the advice	<p>Kingshield only provides advice relating to:</p> <ol style="list-style-type: none">1) <u>Investment planning and portfolio management</u> This comprises the development of an investment strategy, recommendation of investments for a portfolio, implementation and ongoing management of the portfolio, and regular reviews with clients.2) <u>Retirement planning</u> This comprises the development of a retirement plan using a financial model of your current situation to determine how you are placed to meet your retirement goals. This also includes exploring alternative strategies to help you achieve your retirement goals and objectives. <p>Kingshield provides financial advice relating to the following types of financial products:</p> <ul style="list-style-type: none">• Managed funds (including NZ PIE funds, unit trusts, superannuation, and group investment funds)• Direct shares, direct bonds, government stock (listed/unlisted within funds)• Bank deposits <p>Kingshield has no material limitations in recommending investments with any product provider and is able to provide access to a wide range of products via the Aegis electronic investment administration service.</p> <p>Kingshield recommends the electronic investment administration service (also known as a wrap platform), provided by Apex Wealth Management for holding client investments.</p>
Fees or expenses	<p>Kingshield charges fees to clients for its services. These typically comprise:</p>

	<p><u>Investment planning and portfolio management</u></p> <p>a) <u>Initial one off advice fee</u> for providing recommendation of an investment strategy and investment portfolio. This is payable whether the advice provided is adopted or not.</p> <p>b) <u>Ongoing fee</u> for management of the portfolio and client servicing.</p> <p>c) A separate fee is payable to an independent <u>investment custodian</u> for the use of their platform.</p> <p><u>Retirement planning</u></p> <p>a) <u>Initial advice fee</u> for constructing your financial model, and exploring strategies for your retirement.</p> <p>b) <u>Annual fee</u> for updating your financial model to measure progress and to reflect changes to your situation.</p> <p>We will confirm the exact fees we will charge at the time our advice is provided.</p>
<p>Conflicts of interest and incentives</p>	<p>Our advisers receive a salary as an employee of Kingshield. They do not receive any other incentives or commissions based on the financial advice they provide to you.</p> <p>To ensure we prioritise our client's interests:</p> <ul style="list-style-type: none"> • Kingshield follows an advice process that ensures our recommendations are based on the client's goals and circumstances. • Our advisers undertake continuing professional development that includes ethics training. • Our advice process is also subject to annual reviews by a reputable external compliance provider.
<p>Complaints handling and dispute resolution</p>	<p><u>Internal Complaints Procedure</u></p> <p>If you are not satisfied with any aspect of the financial advice we have provided, you can file a complaint by emailing us at lester@kingshield.co.nz or calling (09) 930 6933. You can also write to us at: P.O. Box 30 3065, North Harbour, Auckland 0751.</p> <ul style="list-style-type: none"> • We will consider your complaint and let you know how we intend to resolve it. Where possible, we try to resolve your complaint immediately. • If we are unable to resolve your complaint immediately, we will acknowledge your complaint within 2 business days. We may contact you to get further information. • We aim to resolve complaints within 7 working days of receiving them. If we need more time to investigate your complaint, we will let you know when you can expect to receive a response. <p><u>Dispute Resolution Service</u></p> <p>If we are unable to resolve the complaint internally, clients may contact Kingshield's independent dispute resolution provider: Insurance and Financial Services Ombudsman (IFSO). P.O. Box 10 845, Wellington 6143</p>

	<p>Telephone number: 0800 888 202 / (04) 499 7612</p> <p>Email address: info@ifso.nz</p> <p>There is no charge for this service, and they may help us resolve any disagreement.</p>
Duties information	<p>Kingshield, and anyone who provides advice on its behalf, have duties under the Financial Markets Conduct Act 2013 relating to the way that we give advice. We are required to:</p> <ul style="list-style-type: none"> • Give priority to our client’s interests at all times; and • Meet the standards of competence, knowledge, and skill set by the Code of Professional Conduct for Financial Advice Services; and • Exercise care, diligence and skill in providing our clients with advice; and • Meet the standards of ethical behaviour, conduct, and client care set by the Code of Professional Conduct for Financial Advice Services.
Contact Details	<p>Kingshield’s contact details are:</p> <p><u>Office address:</u> Suite D, First Floor, Building 6 331 Rosedale Road Albany, Auckland 0632</p> <p><u>Postal address:</u> P.O. Box 30 3065, North Harbour, Auckland 0751</p> <p><u>Phone number:</u> (09) 930 6933</p> <p><u>Email address:</u> lester@kingshield.co.nz</p>

Client Confirmation

I confirm I have received, read and understood Kingshield Investments Limited’s Public Disclosure Statement (ver 2.2 – 14 June 2023).

Signed by Client

Client Name: _____

Date: _____ 202_