



Primary Disclosure Statement- Publicly available information (Financial Advice Provider)

Dr. Roger Su is a Licensed Financial Advice Provider issued by the FMA to provide finance advice services. Financial Services Provider Number is FSP52181

Address

Physical address: 2nd Floor,
81 New North Rd
Eden Terrace

AUCKLAND 1021

Postal address: PO Box 186
Shortland Street

AUCKLAND 1041

Trading name: SRRS Financial Service

Telephone number: 09 3733465

Email address: roger.su@srrs.co.nz

This disclosure statement was prepared on: 01/07/2019

It is important that you read this document

This information will help you to choose a financial adviser that best suits your needs. It will also provide some useful information about the financial adviser that you choose.

In addition to the information that I must disclose to you in this statement, I must also disclose other information to you in a separate disclosure statement (or statements), including information about the types of services that I provide, the fees that I charge, and any actual or potential conflicts of interest. If I have not provided that information to you at the same time as I give you this statement, I must provide it to you as soon as I can.

What sort of adviser am I?

I am an Authorised Financial Adviser. This means I have been authorised by the Financial Markets Authority (the government agency that monitors financial advisers) to provide the financial adviser services described below.

Cautious | Conservative | Fundamental

Phone: +64 9 3733465 | Email: roger.su@srrs.co.nz | www.srrs.co.nz

2nd Floor, 81 New North Road, Eden Terrace, Auckland 1021 | P. O. Box 186, Shortland Street, Auckland 1140, New Zealand



How can I help you?

I have been authorised to provide you with financial adviser services of the following categories:

- Financial advice;
- Investment planning services;
- Discretionary investment management services;
- Kiwisaver investment strategies and retirement planning
- Personal insurance
- Taxation service

When I do this, I will be able to give you advice and/or provide a service about:

- financial products provided by only 1 organisation.
- financial products provided by a small number of organizations (2 to 5 organisations).
- financial products provided by a broad range of organisations (more than 5 organisations).
Including:
Kiwisaver investment
Management Investment
Personal insurance (life cover, income protection, trauma and medical insurance)

How do I get paid for the services that I provide to you?

Payment type	Description
<input checked="" type="checkbox"/> Fees only	My services are only paid for by the fees that you pay. I do not receive payments from other people or organisations that might influence my advice.
<input type="checkbox"/> Fees	My services are paid for by the fees that you pay as well as in other ways.
<input checked="" type="checkbox"/> Commissions (For Kiwisaver only)	For services in relation to insurance/investments, commissions may be paid by the product provider
<input type="checkbox"/> Extra payments from my employer	I may receive extra payments from my employer depending upon the decisions that you make.
<input checked="" type="checkbox"/> Non-financial benefits from other organisations	Other organisations may give [me/my employer/my employer and me] non-financial benefits such as a bottle of wine depending on the decisions that you make.

The actual fee charged fees for our advice and services may be based on a combination of : A dollar amount; or a percentage-based fee.
Our agreed advice and service fees may include charges for : initial advice ongoing or annual advice and service.

Cautious | Conservative | Fundamental

Phone: +64 9 3733465 | Email: roger.su@srrs.co.nz | www.srrs.co.nz

2nd Floor, 81 New North Road, Eden Terrace, Auckland 1021 | P. O. Box 186, Shortland Street, Auckland 1140, New Zealand



Other costs: where other costs are incurred in the process of providing our advice and services to you, you will be liable for these costs. However, we will agree all additional costs with you prior to incurring them.

Commission:

For services in relation to insurance/investments, commissions may be paid by the product provider as follows.

Initial Commission – a percentage of the value of your investment contributions, insurance premiums.

Ongoing Commission – a percentage of the value of your investment balance, outstanding premium, usually calculated at the end of each month in which you hold the investment or renewal of insurance products.

I am required to tell you the specific fees, commissions, extra payments, and other benefits that I have received or will, or may, receive in relation to the services that I provide to you. I must tell you these things before I give you advice and/or provide a service or, if that is not practicable, as soon as practicable after I give you that advice and/or provide that service.

What are my obligations?

As an Authorised Financial Adviser, I must comply with the Code of Professional Conduct for Authorised Financial Advisers. I also have other obligations under the Financial Advisers Act 2008 (including regulations made under that Act) and under the general law.

Conflicts of interest or other incentives

We are here for our clients and to advise you as best we can. Your interest are our priority although we do have business relationships with product providers also.

From time to time our product providers assist us with funding so we can bring our advisors together for conferences and professional development training.

To ensure we priorities our clients' interests:

- We follow can advice process that ensures our recommendations are made appropriately, based on clients' goods and circumstances.
- All our advisers undergo annual training about how to manage conflicts of interest.
- We maintain registers of conflicts of interests and the gifts and incentive we receive. These registers are monitored regularly, and additional trading is provided as required.
- We undertake an annual independent Compliance Assurance Review.

Our Duties and Obligations to you

- We are bound by the duties of the Financial Markets Conduct Act (431L, 431K, 431I and 431M) to:
- Meet the standards of competence, knowledge and skillset out in the Code of Conduct
- Give priority to the clients' interest and
- Exercise care, diligence and skill and
- Meet the standards of ethical behaviour, conducts, and client care set out in the Conde of Conduct.

Cautious | Conservative | Fundamental

Phone: +64 9 3733465 | Email: roger.su@srrs.co.nz | www.srrs.co.nz

2nd Floor, 81 New North Road, Eden Terrace, Auckland 1021 | P. O. Box 186, Shortland Street, Auckland 1140, New Zealand



What should you do if something goes wrong?

If you have a problem, concern, or complaint about any part of my service, please tell my employers so that they can try to fix the problem.

You may contact the internal complaints scheme by contacting Stephen Rogers – Director of Foundry Asset Management Limited on 09 302 2014.

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact the Insurance and Savings Ombudsman (“ISO”). This service will cost you nothing, and will help us resolve any disagreements.

You can contact ISO at:

Address: Po Box 10-845
Wellington 6143,
New Zealand

Telephone number: 0800 888 202

Email address: <http://www.iombudsman.org.nz/contact>

If you need to know more, where can you get more information?

If you have a question about anything in this disclosure statement or you would like to know anything more about me, please ask me. If you have a question about financial advisers generally, you can contact the Financial Markets Authority.

How am I regulated by the Government?

You can check that I am a registered financial services provider and an Authorised Financial Adviser at <http://www.fspr.govt.nz>

The Financial Markets Authority authorises and regulates financial advisers. Contact the Financial Markets Authority for more information, including financial tips and warnings.

You can report information or complain about my conduct to the Financial Markets Authority, but in the event of a disagreement, you may choose to first use the dispute resolution procedures described above (under What should you do if something goes wrong?).

Declaration


I, Dr Roger Su, declare that, to the best of my knowledge and belief, the information contained in this disclosure statement is true and complete and complies with the disclosure requirements in the Financial Advisers Act 2008 and the Financial Advisers (Disclosure) Regulations 2010.

Cautious | Conservative | Fundamental

Phone: +64 9 3733465 | Email: roger.su@srrs.co.nz | www.srrs.co.nz

2nd Floor, 81 New North Road, Eden Terrace, Auckland 1021 | P. O. Box 186, Shortland Street, Auckland 1140, New Zealand



Signed: _____  _____

Date: 14/03/2021

