



KVB Kunlun  
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KVB Kunlun New Zealand Limited  
Level 10, The National Bank Tower  
205 Queen Street  
Auckland  
New Zealand

Tel: +64 9 359 8988  
Fax: +64 9 359 8989  
www.kvbkunlun.com

## Primary Disclosure Statement

### (Authorised Financial Advisers)

Authorised Financial Adviser:	Benny WONG (Songyuan HUANG)
Registration Number:	FSP166664
Address:	Level 10, Tower 1 205 Queen Street PO Box 105 438 Auckland, New Zealand
Trading Name:	KVB Kunlun New Zealand Limited
Telephone Number:	+ 64 9 359 8998
Fax Number:	+ 64 9 359 8989
Email Address:	benny.w@kvbkunlun.com

This Disclosure Statement was prepared on 22 November 2018.

#### It Is Important That You Read This Document

This information will help you 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 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.

#### How Can I Help You?

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

- Giving financial advice (making recommendations or giving an opinion in relation to acquiring or disposing of a financial product)

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

- Financial products provided by only 1 organisation. (KVB offers financial products in Category 1 as described in Part 1, Section 5 of the Financial Advisors Act 2008 ("the Act") – margin trading and securities trading. KVB does not offer Category 2 products as described in the Act).
- Financial products provided by a small number of organisations (2 to 5 organisations)
- Financial products provided by a broad range of organisations (more than 5 organisations)

## How Do I Get Paid For The Services That I Provide To You?

Payment Type	Description
<input type="checkbox"/> Fees only	My services are only paid for by the fees you pay. I do not receive payments from other people or organisations that might influence my advice
<input checked="" 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	There are situations in which my employer and I will be paid by other organisations. How much that payment will be depends on the decisions that you make
<input checked="" type="checkbox"/> Extra payments from my employer	I may receive extra payments from my employer depending upon the decisions that you make

<input type="checkbox"/> Non-financial benefits from other organisations	Other organisations may give my employer and I non-financial benefits depending on the decisions that you make
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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/provide a service or, if that is not practicable, as soon as practicable after I give you that advice/provide a 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.

### What Should You Do If Something Goes Wrong?

If you have a problem, concern, or complaint about any part of my service, please tell me, my employer, or my internal complaints scheme so that I, my employer, or my internal complaints scheme can try to fix the problem.

You may contact the internal complaints scheme by writing to:

The Compliance Manager  
KVB Kunlun New Zealand  
Level 10 Tower One  
205 Queen Street  
Auckland New Zealand  
[complaint@kvbkunlun.com](mailto:complaint@kvbkunlun.com)

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact Financial Dispute Resolution Service ("FDRS"). FDRS is an independent approved dispute resolution scheme for settling disputes between people and businesses, and the organisations that provide them with financial services and advice. This service will cost you nothing, and will help us resolve any disagreements. You can contact the Financial Dispute Resolution Service at:

Financial Dispute Resolution Service  
Freepost 231075  
P.O. Box 2272  
Wellington 6140

Telephone: 0508 337 337  
International calls: +64 4 910 9952  
Web: [www.fdr.org.nz](http://www.fdr.org.nz)  
Email: [enquiries@fdrs.org.nz](mailto:enquiries@fdrs.org.nz)

### 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 [www.fspr.govt.nz](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, Benny WONG (Songyuan HUANG), 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.

**Signed:** .....