

code of professional conduct for financial advisers.

We recognise the need for us as a professional industry to take action to improve what we do for our clients.

mySolutions Group members have worked together to endorse this Code of Professional Conduct within the industry, it promotes good behaviour, conduct and has an important focus on good client outcomes.

It is about increasing trust and confidence within our industry and the products we promote.






The main benefit is, that mySolutions members can help more New Zealanders increase and protect their wealth by getting the right advice at the right time.

This code supports the existing Laws and Regulations.





There are 9 standards focusing on 2 key areas:

- Ethical Behaviour, Conduct and Client Care
- Competence, Knowledge and Skill

ETHICAL BEHAVIOUR, CONDUCT AND CLIENT CARE

-  **1** We will treat our clients fairly and with respect
-  **2** We will always act with integrity
-  **3** We will give appropriate and suitable financial advice
-  **4** We will check you understand the advice and the products
-  **5** We will protect your information and privacy

COMPETENCE, KNOWLEDGE AND SKILL

-  **6** We have the right competence, knowledge and skill (Level 5 Qualification)
-  **7** We have the competence, knowledge and skill to design an investment plan (Investment Strand)
-  **8** We have the skills to give product advice (Insurance Strand)
-  **9** We keep our competence, knowledge and skills up to date (Documented Continued Professional Development)