



Self-Managed Financial Advice Service

Service Description

This service is designed for investors who want to manage their own portfolio while seeking input and advice from our financial advisors before making decisions. We provide general financial advice specific to the New Zealand and Australian markets and include advice around portfolio construction and investment strategy. Users of this service can also contact our advisors to place orders to buy or sell listed shares or bonds.

Included Services – Annual Fee of \$595+GST P.A (\$684.25 including GST)

Financial Advice: We provide you financial advice and opinion on investments consistent with your investment policy (below).

Client Appointments: Free client appointments when we are in your area.

Reporting: Personalised quarterly reports and 24/7 access to your online client portfolio.

Portfolio Monitoring: Including up to date pricing, cash flow analysis, maturity profiles and industry classification.

Research: Access to our web portal to read our research and result summaries on most of the companies we recommend

Newsletters: Receive our confidential quarterly newsletters.

Administrative Assistance: Our staff can assist you with basic administration on your investments.

Buy and Sell Orders: Execute buy and sell orders for shares, bonds, and Exchange Traded Funds (ETFs) on the NZX & ASX.

☐ **Optional Add On – Personalised Reporting Service – An additional add-on of \$905+GST P.A.**

Our Personalised Reporting Add-On Service is designed for investors seeking quarterly reports with personalised recommendations regarding their portfolio. One of our advisors will review your portfolio in detail and provide their insights.

☐ **Optional Add On - Cash Management Account – No Charge**

Banking - CLP has selected ANZ Bank to provide on-call Cash Management Account (CMA) services to our clients. We have selected ANZ Bank to ensure that your investment funds are managed by one of NZ's strongest banks. The funds are at call with no minimum holding period or regular deposits required. Our CMA account simplifies the process of depositing or withdrawing investment funds, investing in other currencies, settling transactions, and receiving income and dividends from your investment portfolio.

Interest Rate: The interest rate on the CMA account is currently 3.00% p.a. Interest is calculated daily and paid monthly.

Bank Details*		
	Name of Account	Bank Account Number

* Please specify the bank account where we should deposit the proceeds for any withdrawal requests.

Initial Deposit \$_____

If you would like regular income, how much would you like per month? \$_____

Tax Rate: 10.50% 17.50% 30% 33% 39% Other_____

Services & Fees

Annual Fee: \$595+GST for 12 months of financial advice.

Add-on Services: \$905+GST for our additional Personalised Reporting Service (Total annual fee of \$1,500+GST P.A.)

Brokerage Fee: CLP charges brokerage on most buy and sell orders on the stock exchange.

Other Fees: Additional fees such as foreign exchange fees for foreign transactions will be incurred at the time of transaction.

Payment of fees are to be made to the bank account below:

Bank: ANZ Bank

Name of Account: Chris Lee and Partners Ltd

Account Number: 01-0731-0182987-00

Reference: Your name & CSN

A receipt will be forwarded upon receipt of payment. This fee may be tax deductible.

Client Information

Investor 1	
Investor 2	
Date of Birth/s	
IRD Number/s	
Address	

Investment Policy

Please define an Investment Policy setting (ONE only):

Selection	Investment Policy	Fixed Interest	Property Shares	Shares (non-property)	Maximum Single Investment (%)
<input type="checkbox"/>	Capital Preservation	100%	0%	0%	7%
<input type="checkbox"/>	Conservative	70%	5%	25%	7%
<input type="checkbox"/>	Balanced	55%	10%	35%	7%
<input type="checkbox"/>	Growth	30%	15%	55%	10%
<input type="checkbox"/>	Aggressive	5%	15%	80%	10%
<input type="checkbox"/>	Client Defined	___%	___%	___%	___%

Acknowledgement and Consent

Our Self-Managed Financial Advice Service is entered into between the undersigned client and Chris Lee & Partners ("CLP"). The purpose of this Agreement is to outline the terms and conditions under which CLP will provide Financial Advice to the client. Financial advice is defined as 'A person gives financial advice if they make a recommendation or give an opinion in relation to acquiring, disposing or refraining from acquiring or disposing of a financial product'.

I understand that this service includes financial advice

I understand that I am self-managing my portfolio

I understand that all investment involves the risk of loss and that there is a relationship between risk and reward.

I understand that my CSN and FIN will be stored to ensure smooth transactions (clients can opt out of this service)

I confirm that I have received and understand your disclosure statements. I understand the scope of services on offer.

The Client is encouraged to review this Agreement carefully and consult with CLP regarding any questions or concerns. By signing this Agreement, the Client acknowledges their understanding and acceptance of the terms and conditions set forth herein.

I acknowledge that I have read and understood the terms outlined.

Full name:

Signature:

Date:

CASH MANAGEMENT ACCOUNT - TERMS AND CONDITIONS:

- (a) I authorise the appointment of FNZ Limited to provide Custody Services on behalf of CLP, and to hold Client Assets as bare trustee, for the benefit of the Investor;
- (b) I empower CLP to act as an Authorised Person on my behalf;
- (c) I understand that FNZ is only the Client's custodian in respect of Custody Investments, and that non-Custodial Investments are not held in Custody;
- (d) I understand that any portfolio valuation provided to the Client is not an independent fair market valuation and neither CLP, Hatch or FNZ is a valuer;
- (e) I understand that if my account becomes inactive and that I cannot be traced, any funds in the Client's account may be paid over to the IRD in accordance with the Unclaimed Money Act 1971 or to the Treasury in accordance with the Trusts Act 2019;
- (f) I acknowledge and grant CLP the right to enter into such arrangements necessary to give effect to the Authorised Instructions, including Clearing and Settlement or in relation to Custody Investments.

Safe custody and Nominee Service

FNZ Limited will act as Custodian on its behalf. These terms reflect the terms of the Custodial Services Agreement between CLP, FNZ and Hatch and accordingly may be amended from time to time to reflect any amendments to the Custodial Services Agreement.

1.1 FNZ will, in accordance with instructions given by an Authorised Person, hold Custody Investments in Custody for Investors.

1.2 Client Assets are held by FNZ or its Nominee as bare trustee on behalf of the relevant Investor as the delegate or contractor of Hatch in a manner that enables them to be readily identified as the property of that Investor.

1.3 Where an Intermediary requests that securities are held in Custody by FNZ, the Intermediary will ensure that all necessary documentation and information to enable FNZ to accept and hold those securities in Custody is delivered to Hatch.

1.4 Legal title to Custody Investments is registered in the name of the Nominee appointed by FNZ.

1.5 Custody Investments held by FNZ on behalf of an Investor will be recorded and held for the account of the Investor in FNZ's books and segregated from assets belonging to FNZ.

1.6 Any Nominees used by FNZ will be directed to record and hold (so far as permitted by applicable law, or regulations or market practice) all Custody Investments as separately identifiable for the account of the Investor or otherwise to the order of the Investor as the Nominee may reasonably think proper for the purpose of providing for their safe Custody.