



Advice Disclosure Statement

15th March 2021

Licensing information

Mint Asset Management Ltd (Mint) (FSFR number 24461) is an independent investment management business based in Auckland, New Zealand.

Mint has a transitional licence issued by the Financial Markets Authority (FMA) to provide general financial advice.

Nature and scope of advice

We provide general advice only, aimed at helping investors make informed investment decisions about investing in our funds. We would only offer advice when investors request specific or detailed information about our funds, or when providing commentary and insights for investors in general.

We do not provide any level of personalised financial advice, with investors needing to make their own decisions about how to use our product-specific advice and information for their own circumstances. General advice will only be provided on Mint's range of investment funds. We do not offer advice on anyone else's funds or provide comparisons with other funds.

Mint provides its general advice on its own behalf, and through two individuals registered to be able to provide general advice on Mint's behalf on its products and services.

Fees or expenses

Mint does not charge fees, expenses or other amounts for advice given to clients.

Conflicts of interest and incentives

The two individuals who can provide general advice on behalf of Mint are salaried staff of Mint and may be eligible for annual bonuses based on the overall success of the business. There are no incentives to staff for general advice provided, or for any resulting investment.

Mint earns management fees based on a percentage of the funds under management in its investment funds, so stands to benefit from investors investing in and remaining in its funds. To ensure we manage the conflict of interest this gives rise to, and prioritise

the interests of our clients when giving any financial advice, we ensure any advice we provide is limited to factually accurate product-specific information. We rely on investors to make their own minds up in relation to their investment decisions about our funds, having regard to the information we provide, without influencing them through personalised advice. We maintain records of the advice we provide and audit those records to ensure the advice we provide is appropriate and has not been influenced by our own interests.

Complaints handling and dispute resolution

If you are not satisfied with our financial advice service, you can make a complaint by contacting us:

Phone: 0800 646 833 or +64 9 300 8484
Email: info@mintasset.co.nz
Physical Address: Level 25, 151 Queen Street, Auckland 1010
Postal Address: PO Box 91649, Victoria Street West, Auckland 1142

When we receive a complaint, we will follow our internal complaints process:

- We will consider your complaint and let you know how we intend to resolve it. We may need to contact you to get further information about your complaint.
- We aim to resolve complaints within 10 working days of receiving them. If we cannot, we will contact you within that time to let you know we need more time to consider your complaint.
- We will contact you by phone or email to let you know whether we can resolve your complaint and how we propose to do so.

If we can't resolve your complaint, or you aren't satisfied with the way we propose to do so, and the complaint relates to our funds, you can contact our Supervisor, Public Trust, at:

Phone: 0800 371 471
Email: cts.inquiry@publictrust.co.nz
Address: Attention: Manager Client Services
Public Trust Level 9, 34 Shortland Street, Auckland.

Mint is a member of a dispute resolution scheme operated by the Insurance & Financial Services Ombudsman Scheme (IFSO) and Public Trust is a member of a dispute resolution scheme operated by Financial Services Complaints Limited (FSCL). If your complaint has not been resolved or you are not satisfied with the proposed resolution after 40 days, you can refer your complaint to either one of the below:

Insurance & Financial Services Ombudsman Scheme (for complaints relating to any of the services we provide, including our funds)

PO Box 10-845, Wellington 6143
Level 8, Shamrock House,
79-81 Molesworth Street, Wellington
Telephone: 04 499 7612 or Freephone: 0800 888 202
Email: info@ifso.nz
Website: www.ifso.nz

**Financial Services Complaints Limited (FSCL)
(for complaints relating to our funds only)**

Level 4, 101 Lambton Quay, Wellington 6011
PO Box 5967, Lambton Quay, Wellington 6145
Phone: (Call Free) 0800 347257
or (Wellington) (04) 472FSCL (472 3725)
Website: www.fscl.org.nz

You will not be charged a fee by either dispute resolution scheme to investigate or resolve a complaint.

Duties information

Mint, and anyone who gives 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:

- give priority to your interests by taking all reasonable steps to make sure our advice isn't materially influenced by our own interests
- exercise care, diligence, and skill in providing you with advice
- meet applicable standards of competence, knowledge and skill set by the Code of Professional Conduct for Financial Advice Services
- meet standards of ethical behaviour, conduct and client care set by the Code of Professional Conduct for Financial Advice Services.

This is only a summary of the duties that we have. More information is available by contacting us, or by visiting the Financial Markets Authority website at www.fma.govt.nz.

Contact details

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