

## LONG BRIDGE SECURITIES LIMITED

### Broker Disclosure Statement Prepared on 27.12.2021

#### General:

1. The information provided in this Statement is to ensure that you have sufficient information to make an informed decision about whether to use the services of Long Bridge Securities Limited ("Longbridge NZ").

#### Incorporation Details

2. Longbridge NZ is a company incorporated under the law of New Zealand. Its company incorporation number is 6551392, and its registered office and address for service is Level 4, 19 Great South Road, Epsom, Auckland, 1051. Longbridge NZ may also be contacted by telephone on 64 9 533 9033.

#### Financial Service Provider

3. Longbridge NZ is also registered as a financial service provider under registration number FSP600050.

#### Description of Services

4. Longbridge NZ provides the following services only:
  - (a) Wholesale and/or generic financial adviser services; and
  - (b) Broking services (including a custodial service).
5. Custodial services are provided by Longbridge NZ's sub-custodians, Phillip Securities Pte Limited a company incorporated under the law of Singapore, and/or Interactive Brokers Group, Inc a company incorporated under the law of Connecticut, USA (the "Third Party Provider") This service is described in more detail in the Client Agreement.
6. Longbridge NZ may also instruct the Third Party Providers to fulfil any orders to buy and sell securities in accordance with your instructions, and in that case, you will be bound in respect of that transaction, including the payment of any fees, by that Third Party Providers' ordinary terms and conditions.
7. Where securities are registered and held on your behalf in the custody service the Third Party Providers, will carry out the following functions on behalf of Longbridge NZ:
  - (a) Administering and accounting for the securities;
  - (b) Processing dividends;
  - (c) Exercising conversion and subscription rights;
  - (d) Dealing with Corporate Actions (as more completely described in Longbridge NZ's Client Agreement.
8. Longbridge NZ does not provide financial advice, including any advice or suggestions on investments, financing, the law, taxation, or wealth management, or derivatives issuer services.

#### Fees and Disclosures

9. In the course of providing services, Longbridge NZ may receive or earn:
- (a) Trading profit where it has acted as principal for its own account as the counterparty to the trade;
  - (b) Fees and brokerage, including brokerage and trail commission from third parties;
  - (c) Margin on exchange rates in respect of transactions involving foreign exchange;
  - (d) In respect of new issues of securities, brokerage, placement and firm allocation fees from issuers of securities.
10. Where Longbridge NZ has instructed an **Third Party Provider** to fulfil any orders to buy or sell securities made by you, then Longbridge NZ may be entitled, in certain circumstances, to receive a commission from that **Third Party Provider** of any fees you are required to pay that **Third Party Provider** for fulfilling that order. It will not always be possible to determine the amount of the commission in advance, but it is estimated to be 50 percent of such fees.

### **Disclaimers**

11. Investments are subject to investment risks including the possible loss of the principal amount invested. Longbridge NZ has prepared a risk disclosure statement, and recommends that you read both that document and the terms of the agreement you will enter into with Longbridge NZ should you utilise Longbridge NZ's services ("Client Agreement"). Both these documents are available on [Longbridge NZ's website at www.Longbridge.global](http://www.Longbridge.global).

### **No Criminal Convictions, Adverse Findings, or Insolvency:**

12. Neither Longbridge NZ, its directors, nor any other principal officers have ever been convicted of any criminal offence or of a crime involving dishonesty, nor been a director or principal officer of a body corporate at the time the body corporate committed any such crime or offence, nor been adjudged bankrupt or insolvent, nor prohibited by law or a Court from taking part in the management of a company or business, nor been the subject of an adverse finding by a Court or disciplinary body in any proceeding or actions taken against them in their professional capacities.

### **Dispute Resolution Arrangements**

13. If you have a complaint, you should contact Longbridge NZ, and Longbridge NZ will endeavour to quickly and satisfactorily resolve it. Complaints should either be:
- (a) made in writing to the Compliance Officer, Long Bridge Securities Ltd, PO Box 9990, Newmarket, Auckland 1149, New Zealand; or,
  - (b) sent by email to: [service@Longbridge.NZ.global](mailto:service@Longbridge.NZ.global)
14. Longbridge NZ will let you know when it has had received your complaint and will generally respond to it within 20 working days (a working day being a day other than a Saturday, Sunday, or public holiday within the meaning of the Holidays Act 2003).
15. Longbridge NZ is member of an independent dispute resolution scheme, Financial Dispute Resolution Service. If an issue cannot be resolved, or if you decide you do not wish to resolve the dispute with Longbridge NZ directly, you can contact Financial Dispute Resolution Service at:

Financial Dispute Resolution Service  
Freepost 231075  
PO Box 2272  
Wellington 6140, New Zealand  
Telephone: 0508 337 337 or +64 4 910 9952  
Email: [enquiries@fdrs.org.nz](mailto:enquiries@fdrs.org.nz)  
Website: <https://fdrs.org.nz/contact-us>

- 16.** You can also complain directly to the Financial Markets Authority (FMA) at: [www.fma.govt.nz](http://www.fma.govt.nz)  
Level 2, Grey Street, Wellington 6140 Telephone: (04) 472 9830

**No Use of Assets**

- 17.** Longbridge NZ will not use money, securities or other property held on your behalf for the benefit of itself or any other person other than in the specific case of deducting fees in accordance with the Client Agreement.

**Auditing**

- 18.** The internal controls that govern the receipt, holding and disbursement of client assets are subject to audit by external auditors and internal compliance checks.