

NAVIGATING REGULATION

Financial Services Council.
Growing and protecting the wealth of New Zealanders

2018



This is the eighth message from the Financial Services Council about future changes coming to financial advice regulation. *The FSC's goal is to highlight key things you need to know about the Financial Services Legislation Amendment Bill (FSLAB), its regulations and the Code of Conduct for Financial Advice.*

The Financial Services Council, Financial Markets Authority and MBIE invite you to attend the Navigating Regulation Advice Summit 2019 – find out more at www.navigatingregulation.co.nz

INTRODUCING
**THE
MARKETPLACE**
NEW FOR 2019!

NAVIGATING REGULATION

ADVICE
SUMMIT
2019

FREE TO ATTEND! CPD POINTS AVAILABLE

THE FMA, MBIE AND FINANCIAL SERVICES COUNCIL
INVITE YOU TO THE NAVIGATING REGULATION ADVICE SUMMIT 2019

- HEAR DIRECTLY FROM KEY DECISION MAKERS FROM THE FMA, MBIE AND CODE WORKING GROUP
 - GET INFORMATION TO HELP PLAN FOR THE NEW REGULATIONS
 - NETWORK WITH PEERS AND HEAR FROM INDUSTRY LEADERS
- SPEAK TO SUPPLIERS FOR PRACTICAL HELP AND SUPPORT THROUGH THE CHANGES

DATES AND VENUES

WELLINGTON

Wednesday 13 March
Westpac Stadium

AUCKLAND

Thursday 14 March
Eden Park

CHRISTCHURCH

Tuesday 19 March
Tait Technology Centre

DUNEDIN

Wednesday 20 March
Forsyth Barr Stadium



NEW FOR 2019 - THE MARKETPLACE

As part of our new initiative, we are inviting a range of experienced suppliers that can help financial advisers prepare for the regulatory changes and make the right decisions, including:

- + Product suppliers (life, funds and KiwiSavers)
- + Dealer groups
- + Compliance firms
- + Educational colleges
- + Software providers
- + Practice management firms
- + Legal firms

For more information or to book a Marketplace stall, please contact us at:
fsc@fsc.org.nz / navigatingregulation.co.nz

THE PROGRAMME

- 7.30am • **Arrival and morning coffee in the Marketplace**
 Meet other financial advisers and visit providers that can give you practical hints and tips on getting ready for the changes in the Marketplace
- 8.30am • **Open and welcome**
- 8.45am • **Regulatory change in the spotlight**
 Hear directly from the key players driving, leading and shaping the new regulations:
 - + John Botica and Derek Grantham, FMA
 - + Sharon Corbett, MBIE
 - + Angus Dale-Jones, Code Working Group
 - + Industry leaders and experience from other advisers
- 10.00am • **Morning tea in the Marketplace**
- 10.30am • **The Future of Advice - panel discussion and Q&A**
 This panel will look towards the future and how Financial Advisers can best prepare themselves for success through the transition to the new regulations.
- 11.30am • **Summit close and one last visit to the Marketplace**
 One more opportunity to visit the Marketplace and get the advice you need.
- 12.00pm • **Marketplace closes**



CONFIRMED SPEAKERS



John Botica
Director Market
Engagement, FMA

John is an experienced senior executive, director and consultant in the financial services industry. He was co-founder of the Assure NZ Group, Managing Director at Guardian Trust and General Manager Wealth Management at AXA.



Derek Grantham
Principal Consultant
FMA

Derek brings the AFA perspective into the work and thinking of the FMA. He brings his experience as a financial adviser and as Head of Adviser Services for a national advisory firm to his role within the FMA's regulation team.



Angus Dale-Jones
Chair
Code Working Group

Angus is a chartered accountant and former financial services regulator in Australia and NZ. Angus runs a conduct, compliance and regulatory strategy consultancy.



Sharon Corbett
Manager Financial
Markets, MBIE

Sharon manages the financial markets policy team. She has been leading the Ministry's team amending New Zealand's financial advice legislation since the review commenced in 2014.



Richard Klipin
CEO
FSC

Richard has extensive experience in leading and transforming industry associations, life insurance manufacturers and financial advice businesses, having held senior leadership roles in all sectors over the past 16 years.

DELEGATE FEEDBACK

The overall feedback from the 1,000 attendees at the 2017 Navigating Regulation Advice Summits was very positive, with 94% of the attendees rating the speakers between good and excellent, and 93% rating the event good, very good or excellent overall.



Great event and it was the perfect length of time for the subject matter.



Excellent event and a really good way to hear the latest from those in the know.



Very well run and topics were made interesting by the speakers.



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FMA
FINANCIAL MARKETS AUTHORITY
Te Kaitiaki Takekōwhiri

**MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT**
Te Kaitiaki Takekōwhiri

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