



Evolve Group Limited Material Issues and Reporting Policy

As a licensed Financial Advice Provider (FAP), Evolve Group Limited is responsible for ensuring that I continue to meet my obligations under the licence granted to Evolve Group Limited by the Financial Markets Authority (FMA).

The FMA granted Evolve Group Limited a licence based on the information and details provided at the time I applied for my licence. One of the requirements of this licence is to notify the FMA of any material changes I make to ensure that I am operating under the terms of my licence at all times. A material change is anything that impacts the nature of my financial service (such as advice procedures or digital advice) or the manner in which I provide my financial advice service (engagement of advisers, nominated representatives, digital advice)

In addition to notifying the FMA of any material changes to the business, I need to provide them with regulatory returns upon request. These returns include factual business information including but not limited to:

- Business volumes
- Service types
- Customer numbers
- Breaches
- Complaint information

The Process

Material Changes or Breaches

I monitor and review the ongoing operations of the business and how it is performing in line with the requirements of my licence obligations.

Where Evolve Group Limited plans on implementing a material change to the business that impacts the information provided to the FMA in support of my licence application, I notify them within 10 working days of commencing to implement these changes.

Should there be a breach of my licence obligations, I will notify the FMA, record it in my Incident Register and treat it in line with my Incident Management Policy.



Regulatory Reporting

Evolve Group Limited uses a Customer Relationship Management(CRM) system provided by The Adviser Platform(TAP).

The TAP CRM allows those with the security setting of 'Business Owner' to run a report at any time and export the results to provide to the FMA upon request.

The reporting functionality allows Evolve Group Limited to have oversight and report details including (but not limited to):

- Number of clients
- Clients flagged as 'vulnerable'
- Client products
- Products sold
- Providers used
- Policies replaced
- Book value
- Complaints received
- Advice process completion

When regulatory reporting is requested, Evolve Group Limited runs the applicable reporting from the CRM and export the data into an acceptable format for presenting to the FMA within the required timeframe.

How compliance is monitored

As a sole adviser I am responsible for the business. It is monitored as part of my day to day activity. Overall responsibility lies with the my as the director and it is up to me to ensure that Evolve Group Limited continues to operate within the terms of the financial services licence.

Related Documents

Personal Information Authority
Incident Register
The Adviser Platform (TAP) Data Privacy & Protection Overview

Related Policies

Record Keeping Policy – A copy of the policy is available on request
Advice Policy – A copy of the policy is available on request



Outsourcing Policy – A copy of the policy is available on request

Version Control

This policy is reviewed on an annual basis and was last reviewed on February 23rd 2021.