

**From:** [Sian.Lucas@fma.govt.nz](mailto:Sian.Lucas@fma.govt.nz)  
**To:** [REDACTED]  
**Subject:** AML/CFT enforcement information request  
**Date:** Monday, 26 July 2021 4:16:55 PM

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Hi [REDACTED]

In response to your OIA for information about our AML/CFT enforcement action:

Questions (a), (b) and (c): we did not issue any non-public or public formal warnings, or enforceable undertakings between 30 June 2020 to 30 June 2021.

As a result, question (d) does not apply because we did not issue any warnings or enforceable undertakings in the period.

If you have any questions please get in touch.

Kind Regards  
Sian

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**From:** [REDACTED]  
**Sent:** Tuesday, 6 July 2021 2:48 pm  
**To:** [aml@fma.govt.nz](mailto:aml@fma.govt.nz)  
**Cc:** [REDACTED]  
**Subject:** AML/CFT enforcement information request

Good afternoon,

We would like to understand the sum of AML/CFT enforcement action taken by the FMA since the AML/CFT Act came into force, and specifically, the total and timing of formal warnings, so that we can accurately present this information in our publications and to our clients.

We made a similar request for information last year and received a response with the total number of public and private warnings issued until 30 June 2020. This information was useful, and helped us understand that you have issued a total of 38 private warnings and 5 public warnings for the period from 30 June 2013 to 30 June 2020.

We would be grateful to receive an update to these numbers, based on the year ended 30 June 2021.

While we appreciate that certain identifying information is to remain private, could you please advise us:

- a. The total number of non-public formal warnings issued from 30 June 2020 to 30 June 2021;
- b. The total number of public formal warnings issued from 30 June 2020 to 30 June 2021;
- c. The total number of enforceable undertakings issued from 30 June 2013 to 30 June 2021; and
- d. The calendar or reporting years in which each of the above were issued.

Your assistance on this matter is much appreciated.

Kind regards,

[REDACTED]  
[REDACTED]

[Redacted]

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[Redacted]

[Redacted]

[Redacted]