

Financial Markets Conduct (NZ Markets Disciplinary Tribunal Rules) Approval of Rule Change Notice 2017

Pursuant to section 332(1) of the Financial Markets Conduct Act 2013, the Financial Markets Authority gives the following notice.

Contents

	Page
1 Title	1
2 Commencement	1
3 Interpretation	1
4 Approval of rule change	2

Notice

1 Title

This notice is the Financial Markets Conduct (NZ Markets Disciplinary Tribunal Rules) Approval of Rule Change Notice 2017.

2 Commencement

This notice comes into force on 20 June 2017.

3 Interpretation

(1) In this notice, unless the context otherwise requires,—

Act means the Financial Markets Conduct Act 2013

NZMDT Rules means the NZ Markets Disciplinary Tribunal Rules

NZX means NZX Limited

Regulations means the Financial Markets Conduct Regulations 2014

(2) Any term or expression that is defined in the Act or the Regulations and used, but not defined, in this notice has the same meaning as in the Act or the Regulations.

4 Approval of rule change

Pursuant to section 331 of the Act, the Financial Markets Authority approves changes to the NZMDT Rules provided by NZX to the FMA for approval on 2 May 2017.

Dated at Auckland this 20th day of June 2017.



Garth Stanish
Director of Capital Markets
Financial Markets Authority

Explanatory note

This note is not part of the notice, but is intended to indicate its general effect.

This notice approves a change to the NZ Markets Disciplinary Tribunal Rules (NZMDT Rules) that was provided to the Financial Markets Authority by NZX Limited (NZX) for approval on 2 May 2017. This change will be incorporated into the NZMDT Rules at a future date to be determined by NZX.

The change approved is a change to the definition of 'Related Entity' contained in rule 1.7.1 of the NZMDT Rules in order to differentiate it from the definition of 'Associated Entity' in the NZX Conflict Management Policy;