

15 October 2020

[REDACTED]
[REDACTED]

Dear [REDACTED]

Your Official Information Act Request (OIA)

1. On 1 October 2020 we received your OIA request for the below information:
 - a. the total number of non-public formal warnings issued until June 2020; and
 - b. the calendar or reporting years in which these were issued.

2. Please find the information below:

FMA AML/CFT Warnings from 30 June 2013 – 30 June 2020:

Period (July to June of each year)	Private Warnings	Public Warnings	Public warnings issued to
2013/2014	1	0	
2014/2015	2	0	
2015/2016	0	2	- MSL Capital Limited - Craigs Investment Partners Limited
2016/2017	10	0	
2017/2018	7	1	- Fullerton Markets
2018/2019	11	0	
2019/2020	7	2	- Circle Markets Limited - Tiger Brokers (NZ) Limited
Total	38	5	

3. You can view the FMA's public warnings [here](#) on our website.

4. If you wish to discuss this response or have any other questions please contact [REDACTED] at [REDACTED].

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Manager, Policy and Governance