From:

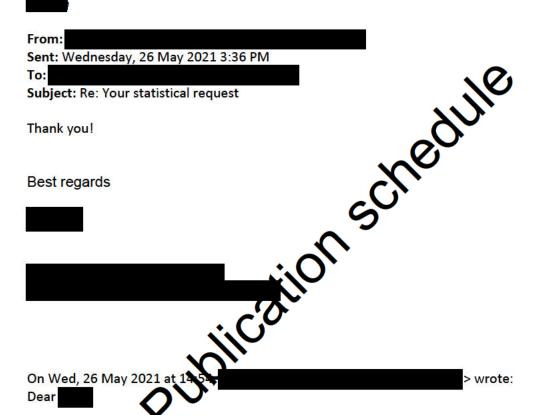
Sent: Wednesday, 26 May 2021 5PM

To:

Subject: Re: Your statistical request

On a double check of numbers of licenses issued currently we saw it was actually 2009, not 2022 as I'd initially thought. I see I omitted to update the number in the second para! Apologies – that should consistently read 2009!

Sincerely



There are currently 2009 licences that the FMA has issued under the Financial Markets Conduct and Financial Markets Supervisors Acts. The FMA does not hold the statistics on the number of individuals that work in these licensed entities.

The 2009 2022 licences include licences for:

- Financial Advice Providers
- Managed Investment Scheme Managers
- Supervisors of Debt Security issuers, and Managed Investment Schemes
- Derivative Issuers
- Independent Trustees
- Peer to peer lenders
- Crowd funding services
- Discretionary Investment Management Services

You can read more about licensed entities here: https://www.fma.govt.nz/compliance/licensed-providers/

Sincerely,



This email is intended for the addressee(s) only. It may be confidential, and subject to legal privilege, or a confidentiality order of the Financial Markets Authority. If y ware not the intended recipient it may be unlawful for you to use any information in this email or plass it on to others. Please delete the email and any attachments, and notify the sender by return email or telephone +64 4 472 9830. Thank you.

From:

Sent: Monday, 24 May 2021 2:38 PM

To: Questions Comments Scams Compitaints < questions@fma.govt.nz; Questions Comments Scams

Complaints < questions@fma.govt.rv

Subject: statistical request

Hello,

I am conducting some plantet research and needing to quantity the number of people in NZ working in financial markets of any description. I have numbers for those involved in real estate with REA. But I am wondering how many licenses you have current for financial advisors or stock brokers or whoever is involved in these types of financial transactions.

Best regards