

From: Natalie Muir
Sent: Thursday, 12 August 2021 4:41 PM
To: [REDACTED]
Subject: Our OIA response to your request CRM:006900941

Hi [REDACTED]

We have reviewed our records and are now able to respond under the OIA with the information you seek.

I provide our answers following each of your questions.

Kind regards
Natalie

From: [REDACTED]
Sent: Saturday, 17 July 2021 3:24 PM
To: questions@fma.govt.nz; questions@fma.govt.nz; questions@fma.govt.nz
Subject: OIA request

Good afternoon,

Please advise:

- How many referrals has the FMA received from the Registrar under s 18(1A) of the Financial Service Providers (Registration and Dispute Resolution) Act 2008 (the Act) since the commencement of the section;

Section 18(1A) came into force on 1 July 2014. From 1 July 2014 to date the FMA has received 51 referrals from the Registrar under this section.

- Of the above, how many has the FMA considered? **31**
- Over the same time period, how many instances has the FMA of its own motion considered the exercise of the power in s 18B of the Act? **90**
- What is the total number of de-registrations that have been made under s 18B of the Act? **83**

I look forward to hearing from you.

Kind regards,

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]