

16 October 2025

[REDACTED]

By email [REDACTED]

Dear [REDACTED]

**Your request for information [CAS-154430]**

We refer to your request dated 1 October 2025 for the following information:

*I'm requesting any documents - such as emails, letters etc - relating to the supervision, by the Financial Markets Authority, of Southern Pacific Financial Group Ltd under the Anti-Money Laundering and Countering Financing of Terrorism Act, and of its registration on the Financial Service Providers Register. Also any documents relating to the FMA having Southern Pacific Financial Group Ltd deregistered, or potentially deregistered, from the Financial Service Providers Register.*

We have considered your request pursuant to the Official Information Act 1982 (OIA). We've searched our systems and the FMA does not hold any documents relating to:

- AML supervision, by the FMA, of Southern Pacific Financial Group Limited (SPFG).
- The deregistration or potential deregistration of SPFG from the Financial Service Providers Register (FSPR).

We can confirm the following:

- In 2015, the FMA was reviewing SPFG's FSPR registration details and website and noted that SPFG may not be in compliance with Companies Act requirements. We referred this to the Registrar of Companies.
- In 2018, the FMA considered a complaint alleging that SPFG's website referred to financial services it was not registered to provide and included statements that were potentially misleading. The FMA engaged with the SPFG who remedied the matter by removing the references and statements. The FMA decided not to take any further action and closed the case.

The information that you have requested that is not held by the FMA is refused under s 18(g) of the OIA. The summary information disclosed above is released under s 16(1)(e) of the OIA.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at [www.ombudsman.parliament.nz](http://www.ombudsman.parliament.nz) or freephone 0800 802 602.

If you wish to discuss this request with us, please feel free to contact me in the first instance.

Yours sincerely

A handwritten signature in blue ink, consisting of a stylized 'A' followed by a horizontal line that ends in a small arrowhead.

Ariarna Hakaraia  
**Manager, Internal Governance**