

From: [REDACTED]

Sent: Wednesday, 26 May 2021 5PM

To: [REDACTED]

Subject: Re: Your statistical request

[REDACTED]

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

[REDACTED]

From: [REDACTED]

Sent: Wednesday, 26 May 2021 3:36 PM

To: [REDACTED]

Subject: Re: Your statistical request

Thank you!

Best regards

[REDACTED]

[REDACTED]

On Wed, 26 May 2021 at 14:54, [REDACTED] > wrote:
Dear [REDACTED]

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

Publication schedule

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

Sincerely,

[REDACTED]



[REDACTED] Manager, Governance

[REDACTED]

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www.fma.govt.nz



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From: [REDACTED]

Sent: Monday, 24 May 2021 2:38 PM

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

Subject: statistical request

Hello,

I am conducting some market research and needing to quantify 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

[REDACTED]

Publication schedule