

From: [REDACTED]
To: [Christiner Chan](#)
Subject: RE: Data request on NZ Investment Market
Date: Friday, 3 May 2024 11:52:28 am
Attachments: [REDACTED]

Hi Christiner

Many thanks for the information that you sent through, and for the additional links.

I need to work through those links to enable me to refine any request for further information. On that basis, I am happy for you to close off this enquiry and I can raise a new one as required.

Once again, thanks for the information provided, it is greatly appreciated.

Cheers

[REDACTED]

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

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From: Christiner Chan <Christiner.Chan@fma.govt.nz>
Sent: Friday, May 3, 2024 11:42 AM
To: [REDACTED]
Subject: RE: Data request on NZ Investment Market

Kia Ora [REDACTED],

We are following up on the email below as we have not heard from you since.

Should you wish to clarify your data request below, please do so by 7th May 2024, Tuesday. Otherwise, we will take that our email below have fully responded to your data request and close this enquiry. Please note that, if you clarify your request by Tuesday, we will need to extend the request in order for us to process and collate the information you seek.

We look forward to hearing from you.

Ngā mihi
Christiner

Christiner Chan Legal Counsel, Governance

T +64 9 3000443

E Christiner.Chan@fma.govt.nz

Level 5, Ernst & Young Building

2 Takutai Square, Britomart, Auckland, 1010

PO Box 106 672, Auckland 1143, New Zealand

www.fma.govt.nz



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From: Christiner Chan

Sent: Tuesday, April 23, 2024 5:05 PM

To: [REDACTED]

Subject: RE: Data request on NZ Investment Market

Kia Ora [REDACTED]

Thank you for your email. We are still in the process of collating the information you have requested below.

In the meantime, we are able to provide you with the following information:

Requested information	Response (the number is accurate as of 12 April 2024 as the numbers fluctuates from time to time)
Number of FAPs	1459
Number of Financial Advisers (and separately, Nominated Reps and Authorised Bodies)	Number of Financial Advisers: 8420
	Number of Authorised Bodies under FAP licences: 1075
	Number of Nominated Reps: 11911 (Please note that this data is taken from the information provided to the FMA in class 3 FAP licence applications at a point in time. It is not reflective of the

	current nominated representative population.)
Number of DIMS licences	52

For more data about FAPs or specific entities, you may wish to visit the FSPR website [here](#) or our website [Licensed & reporting entities | Financial Markets Authority \(fma.govt.nz\)](#).

We are also able to disclose the following data that is non-entity specific relating to DIMS:

Total DIMS Investors	46,594 (the number is accurate as of 15 April 2024)	
Total FUM	\$46.2 bn comprised of:	\$13.8bn International equities
		\$10bn Australasian equities
		\$9.9bn NZ Fixed interest
		\$6.4bn International Fixed interest
		\$3.6bn cash/ cash equivalents
		\$1.7bn Listed property
		\$115m commodities
		\$561m Other
		\$21m Unlisted property

In relation to the following requests:

- *Funds Under Management in Wrap Platform investments (is a further breakdown by asset class available?)*
- *FUM/AUM in non-Wrap and non-KiwiSaver investments (can this be further separated by “legacy” versus contemporary products?)*
- *FUM/AUM under Family Office (do you have data on the number of Family Offices as well?)*

We are unable to provide this specific information as, whilst common, the terminology you have referenced (Wrap Platforms and Family Office) do not describe licenced providers nor are they legal terms defined in legislation. To put things in context, we collect information from licenced entities by way of Regulatory Returns which is provided annually, or via Disclose Registry.

As for “Any other data you have on the investment markets in NZ”, the request is too broad. Please clarify the specific information you are after so that we can progress your request further.

To assist you in narrowing your search, you may wish to visit our website to understand the kinds of information we collect from market participants in our Regulatory Returns: [Online Services | Financial Markets Authority \(fma.govt.nz\)](#).

We look forward to hearing from you.

Ngā mihi
Christiner

From: [REDACTED]

Sent: Tuesday, April 9, 2024 10:14 AM

To: questions@fma.govt.nz; questions@fma.govt.nz; questions@fma.govt.nz; questions@fma.govt.nz

Subject: Data

Hi FMA

I'm trying to obtain data on the NZ investment market.

Do you have, and are you able to provide, data on the following (or something similar):

- Number of FAPs
- Number of Financial Advisers (and separately, Nominated Reps and Authorised Bodies)
- Number of DIMS licences
- Funds Under Management in Wrap Platform investments (is a further breakdown by asset class available?)
- FUM/AUM in non-Wrap and non-KiwiSaver investments (can this be further separated by "legacy" versus contemporary products?)
- FUM/AUM under Family Office (do you have data on the number of Family Offices as well?)
- Any other data you have on the investment markets in NZ

Thanks

