



Hitting the ground running

Sue Brown

Head of Primary Regulatory Operations

Workplace Savings NZ Breakfast | 28 and 29 September 2011

Introducing FMA



FMA Board

Chief Executive

Compliance Monitoring

(Commercial and Infrastructure)
Compliance Policy, Issuer and Commercial Surveillance, Infrastructure Oversight

Primary Regulatory Operations

Licensing, Retail Surveillance, Prospectus Review, Novel Applications, New Product And Services, Regulatory Policy

Enforcement

Civil and Criminal Investigations, Evidence and Enforcement

Strategic Intelligence

Information Research, Analysis, Issue Identification and Strategy and Solutions

Stakeholder Management

Stakeholder (Government Sector, Public, Media and Co-regulator) Relationships, Communications

Business Performance and Strategy

Operations, Technical & Shared Services
(IT / Finance / HR / Admin services)

Legal

Internal, Legal Expertise, Risk Management and Corporate Governance



Contact Us

- Help Me Invest
- Help Me Comply
- Laws We Enforce
- Keep Updated
- About Us

Our enforcement priorities

FMA will use the full range of its enforcement powers, targeting conduct that presents the greatest likelihood of harm to the function of open, transparent and efficient capital markets.

[See more](#)



FMA lays charges against Belgrave directors

FMA has laid 69 criminal charges against three people associated with Belgrave Finance Ltd

[▶ See more](#)

FMA updates on finance company investigations

FMA will continue investigating 16 finance companies involving approx \$3.45 billion of investor losses

[▶ See more](#)



IF YOUR HOME IS IN THE CANTERBURY RED ZONE

GET THE RIGHT ADVICE ON YOUR RED ZONE PAYOUT

[▶ See more](#)



**KiwiSavers face more risk
than foreigners**

Nearly half NZers now in KiwiSaver

**FMA tells KiwiSaver
provider to change tactics**

Trustee and Statutory Supervisor licensing



Securities Trustees and Statutory Supervisors Act 2011

Public Act	2011 No 10
Date of assent	18 April 2011
Commencement	see section 2

FMA



**Promoting and facilitating
the development of fair,
efficient and transparent
financial markets.**

