

Reprint  
as at 1 July 2017



## Financial Service Providers (Fees) Regulations 2010 (SR 2010/236)

Regulations name: amended, on 1 July 2014, by regulation 4(2) of the Financial Service Providers (Fees and Levy) Amendment Regulations 2014 (LI 2014/201).

Anand Satyanand, Governor-General

### Order in Council

At Wellington this 9th day of August 2010

Present:

His Excellency the Governor-General in Council

Pursuant to sections 44 and 78A of the Financial Service Providers (Registration and Dispute Resolution) Act 2008, His Excellency the Governor-General, acting on the advice and with the consent of the Executive Council, and on the recommendation of the Minister of Commerce, and on the recommendation of the Minister of Consumer Affairs made after consultation in accordance with section 78A of that Act, makes the following regulations.

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#### Note

Changes authorised by subpart 2 of Part 2 of the Legislation Act 2012 have been made in this official reprint.  
Note 4 at the end of this reprint provides a list of the amendments incorporated.

**These regulations are administered by the Ministry of Business, Innovation, and Employment.**

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## Regulations

### 1 Title

These regulations are the Financial Service Providers (Fees) Regulations 2010.

Regulation 1: amended, on 1 July 2014, by regulation 4(2) of the Financial Service Providers (Fees and Levy) Amendment Regulations 2014 (LI 2014/201).

### 2 Commencement

These regulations come into force on 16 August 2010.

### 3 Interpretation

- (1) In these regulations, unless the context otherwise requires,—

**Act** means the Financial Service Providers (Registration and Dispute Resolution) Act 2008

**applicant** means a person making an application to be registered as a financial service provider

**relevant person** means, in relation to an applicant or registered financial service provider that is a body corporate or an unincorporated body, a controlling owner, director, or senior manager of the applicant or provider

**supplement** means the fee payable in respect of a criminal record check for the purposes of section 14 of the Act, which is carried out by the appropriate department at the request of the Registrar, being,—

- (a) in the case of an applicant or a registered financial service provider who is an individual or a corporation sole, \$39.38;
- (b) in the case of an applicant or a registered financial service provider that is a body corporate or an unincorporated body, the sum of \$39.38 multiplied by the number of relevant persons.
- (2) Any term or expression that is defined in the Act and used, but not defined, in these regulations has the same meaning as in the Act.

### 4 Application fee

The fee in respect of an application to be registered as a financial service provider under section 15 of the Act is \$345 plus the supplement (unless the supplement is waived under regulation 6).

Regulation 4: amended, on 1 July 2017, by regulation 4 of the Financial Service Providers (Fees) Amendment Regulations 2017 (LI 2017/141).

**5 Annual confirmation fee**

The fee in respect of an annual confirmation of a registered financial service provider's details under section 28 of the Act is \$86.25 plus the supplement (unless the supplement is waived under regulation 6).

Regulation 5: amended, on 1 July 2017, by regulation 5 of the Financial Service Providers (Fees) Amendment Regulations 2017 (LI 2017/141).

**6 Waiver of supplement**

- (1) If the Registrar does not propose to check whether or not an individual or a corporation sole is disqualified under section 14(2)(d) to (f) of the Act, the Registrar must waive the supplement.
- (2) If the Registrar does not propose to check whether or not 1 or more relevant persons are disqualified under section 14(2)(d) to (f) of the Act, the Registrar must waive the supplement or, if checks are to be carried out on 1 or more relevant persons, part of the supplement (being the sum of \$39.38 multiplied by the number of relevant persons in respect of whom no check is proposed).

**7 GST included**

The fees set by these regulations include goods and services tax.

Regulation 7: replaced, on 1 July 2014, by regulation 5 of the Financial Service Providers (Fees and Levy) Amendment Regulations 2014 (LI 2014/201).

**8 GST included**

*[Revoked]*

Regulation 8: revoked, on 1 July 2014, by regulation 5 of the Financial Service Providers (Fees and Levy) Amendment Regulations 2014 (LI 2014/201).

Rebecca Kitteridge,  
Clerk of the Executive Council.

## Reprints notes

### **1** *General*

This is a reprint of the Financial Service Providers (Fees) Regulations 2010 that incorporates all the amendments to those regulations as at the date of the last amendment to them.

### **2** *Legal status*

Reprints are presumed to correctly state, as at the date of the reprint, the law enacted by the principal enactment and by any amendments to that enactment. Section 18 of the Legislation Act 2012 provides that this reprint, published in electronic form, has the status of an official version under section 17 of that Act. A printed version of the reprint produced directly from this official electronic version also has official status.

### **3** *Editorial and format changes*

Editorial and format changes to reprints are made using the powers under sections 24 to 26 of the Legislation Act 2012. See also <http://www.pco.parliament.govt.nz/editorial-conventions/>.

### **4** *Amendments incorporated in this reprint*

Financial Service Providers (Fees) Amendment Regulations 2017 (LI 2017/141)

Financial Service Providers (Fees and Levy) Amendment Regulations 2014 (LI 2014/201)