

Reprint
as at 15 March 2021



Financial Service Providers (Registration) Amendment Regulations 2012 (SR 2012/123)

Financial Service Providers (Registration) Amendment Regulations 2012: revoked, on 15 March 2021, pursuant to regulation 25 of the Financial Service Providers (Registration) Regulations 2020 (LI 2020/316).

Rt Hon Dame Sian Elias, Administrator of the Government

Order in Council

At Wellington this 5th day of June 2012

Present:

Her Excellency the Administrator of the Government in Council

Pursuant to section 44 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008, Her Excellency the Administrator of the Government, acting on the advice and with the consent of the Executive Council and on the recommendation of the Minister of Commerce, 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 (Registration) Amendment Regulations 2012.

2 Commencement

These regulations come into force on 1 August 2012.

3 Principal regulations

These regulations amend the Financial Service Providers (Registration) Regulations 2010 (the **principal regulations**).

4 Regulation 3 replaced (Interpretation)

Replace regulation 3 with:

3 Interpretation

In these regulations,—

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

FMA levies table means the levies table in the Schedule of the Financial Markets Authority (Levies) Regulations 2012

total managed assets has the meaning given in regulation 7 of the Financial Markets Authority (Levies) Regulations 2012.

5 Schedule 3 amended

In Schedule 3, after clause 11, insert the clauses 12 to 15 set out in the Schedule of these regulations.

Schedule Clauses inserted in Schedule 3

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- 12 The class or classes of specified persons (as described in column 2 of the FMA levies table) that include the registered financial service provider.
- 13 The information (if any) required to determine the amount of levy payable by a person in a class described in clause 12 (*see* column 5 of the FMA levies table).
- 14 If the registered financial service provider is included in class 5 (as described in column 2 of the FMA levies table), the total managed assets of the registered financial service provider.
- 15 If the registered financial service provider is a person to whom, and is in a class and a group to which, regulation 12 of the Financial Markets Authority (Levies) Regulations 2012 applies, the financial service registration number of whichever person in the class will pay the levy on behalf of the group.

Rebecca Kitteridge,
Clerk of the Executive Council.

Explanatory note

This note is not part of the regulations, but is intended to indicate their general effect.

These regulations, which come into force on 1 August 2012, amend the Financial Service Providers (Registration) Regulations 2010 (the **principal regulations**). The principal regulations are amended to require registered financial service providers to include in their annual confirmation under section 28 of the Financial Service Providers (Registration and Dispute Resolution) Act 2008 (the **FSP Act**) information required for the application of the Financial Markets Authority (Levies) Regulations 2012.

The principal regulations are also amended to require registered financial service providers that are managers or superannuation trustees (as defined in section 2(1) of the Securities Act 1978) in respect of securities offered to the public to report their total managed assets.

Issued under the authority of the Legislation Act 2012.
Date of notification in *Gazette*: 7 June 2012.

Reprints notes

1 *General*

This is a reprint of the Financial Service Providers (Registration) Amendment Regulations 2012 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 (Registration) Regulations 2020 (LI 2020/316): regulation 25