PRESENTER



Garth Stanish, Financial Markets Authority, Wellington

Garth is Director of Markets Oversight, leading the team responsible for overseeing licenced product markets, secondary market conduct, crowd funding/ peer to peer lending, licensed supervisors, auditors and KiwiSaver. Prior to joining the FMA, Garth had extensive dispute resolution experience at Simpson Grierson and Crown Law, then was the head of Issuer Regulation and an Acting Head of Regulation at NZX.

The statements and conclusions contained in this paper are those of the author(s) only and not those of the New Zealand Law Society. This booklet has been prepared for the purpose of a Continuing Legal Education course. It is not intended to be a comprehensive statement of the law or practice, and should not be relied upon as such. If advice on the law is required, it should be sought on a formal, professional basis.

CONTENTS

| DEALING WITH REGULATORS: THE REGULATOR'S PERSPECTIVE | 1 |
|---|---|
| General Tips | |
| Understand the purpose, philosophy and approach of the regulator and how that relates to your | |
| client's business | 1 |
| Help the regulator to understand your client's business and culture | 2 |
| Responding to a Compliance Event | 3 |
| FMA CASE STUDY – SUPERVISION PRACTICES | 4 |
| AFTER THE EVENT | 5 |
| SUMMING UP | 5 |
| | |