

PROFILE OF SUBMITTERS ON THE CODE COMMITTEE CONSULTATION PAPERS

Profile of Submitters on the Consultation Paper on Competence, Knowledge and Skills

There were 202 submissions in total plus 35 endorsements of other organisations' or individuals' submissions. Listed below are the organisations that submitted on the Competence, Knowledge and Skills Consultation Paper (submissions marked as confidential and individuals' personal submissions are not listed):¹

Adviserlink Ltd	AMP
ASB	Baker & McKenzie
CFA Society of New Zealand	Consumer New Zealand
Craigs Investment Partners	Edmonds Judd
Edmonds Marshall	First Mortgage Managers Ltd
Forsyth Barr Ltd	Funds Administration New Zealand Ltd
IAG New Zealand	INFINZ Institute of Finance Professionals New Zealand
ING (NZ) Ltd	Institute of Financial Advisers
Investment Savings and Insurance Association of New Zealand	Kiwibank Ltd
McDouall Stuart Securities Ltd	New Zealand Anglican Church Pension Board
New Zealand Association of Credit Unions	New Zealand Bankers' Association
New Zealand Council of Legal Executives Inc	New Zealand Financial Markets Association
New Zealand Institute of Chartered Accountants	New Zealand Mortgage Brokers Association
New Zealand Society of Actuaries Inc	NZX Ltd
Professional Advisers Association Inc	Professional Investment Services (NZ) Ltd
Securities Industry Association	Sovereign Ltd

¹ In some cases it was not clear whether a submission was made on a personal basis or whether the submission was being made on behalf of a company or organisation. In those cases it has been presumed that the submission was made on a personal basis and is not recorded in this list.

Stewart Financial Group Ltd

StoneBridge Securities (NZ) Ltd

Strongbox Wealth Management Inc

Suncorp Life New Zealand

Tower Ltd

Trustee Corporations Association of New Zealand Ltd

Vero Insurance New Zealand Ltd

Westpac New Zealand Ltd

Whitireia Community Law Centre

Workplace Savings New Zealand

Profile of Submitters on the Consultation Paper on Ethical Behaviour and Client Care

There were 147 submissions and six endorsements of other organisations' or individuals' submissions. Listed below are the organisations that submitted on the Ethical Behaviour and Client Care Consultation Paper (submissions that were marked as confidential and individuals' personal submissions are not listed):²

AdviceFirst	Age Concern
AMP	ANZ National Ltd
ASB	Banking Ombudsman
CFA Society of New Zealand	Child Poverty Action Group
Citizens Advice Bureaux Inc	Consumer New Zealand
Craigs Investment Partners	Dispute Resolution Services Ltd
Esam Cushing Ltd	Fidelity Life Assurance
Goldman Sachs JB Were (NZ) Ltd	ING
INFINZ Institute of Finance Professionals New Zealand Inc	Institute of Financial Advisers
Insurance Council of New Zealand	Insurance and Savings Ombudsman
Investment Savings & Insurance Association of NZ Inc	Johnston Lawrence Lawyers Ltd
Kiwibank	Life Brokers Association of New Zealand
McDouall Stuart	Mortgage Link
New Zealand Bankers' Association	New Zealand Funds Management Ltd
New Zealand Institute of Chartered Accountants	New Zealand Institute of Legal Executives Inc
New Zealand Law Society	New Zealand Mortgage Brokers Association
NZF Group Ltd	NZX Ltd

² In some cases it was not clear whether a submission was made on a personal basis or whether the submission was being made on behalf of a company or organisation. In those cases it has been presumed that the submission was made on a personal basis and is not recorded in this list.

Professional Advisers Association Ltd

Projects Resources Ltd

Securities Industry Association

Sovereign Ltd

Suncorp Life New Zealand

Triplejump Ltd

Westpac New Zealand Ltd

Professional Investment Services (NZ) Ltd

Safe Home Equity Release Plans
Association (SHERPA)

Sentry Financial Services Ltd

Stonebridge Securities (NZ) Ltd

Tower Ltd

Trustee Corporations Association of New
Zealand

Profile of Submitters on the Consultation Paper on Continuing Professional Training

There were 36 submissions. Listed below are the organisations that submitted on the Continuing Professional Training Consultation Paper (submissions marked as confidential and individuals' personal submissions are not listed):³

AMP	ANZ National Ltd
ASB	CFA Society of New Zealand
Consumer NZ	Craigs Investment Partners
Fidelity Life Assurance	First Mortgage Managers Ltd
Goldman Sachs JB Were (NZ) Ltd	INFINZ Institute of Finance Professionals New Zealand
ING	Institute of Financial Advisers
Kiwibank	Life Brokers Association
New Zealand Assets Management Ltd	New Zealand Financial Markets Association Inc
New Zealand Institute of Chartered Accountants	New Zealand Mortgage Brokers Association
Professional Advisers Association	Professional Investment Services (NZ) Ltd
Public Trust	Securities Industry Association
Sovereign	Suncorp Life New Zealand
Trustees Corporations Association of New Zealand Inc	Westpac New Zealand Ltd

³ In some cases it was not clear whether a submission was made on a personal basis or whether the submission was being made on behalf of a company or organisation. In those cases it has been presumed that the submission was made on a personal basis and is not recorded in this list.