



Disclose Compliance v2 example requests and responses

GETACTIVITIES

GetActivities request: retrieve details of user's fund update compliance activity

POST https://api.business.govt.nz/sandbox/companies-office/disclose-register/DiscloseCompliance/v2

SOAPAction: http://data.business.govt.nz/services/FMCR/DiscloseCompliance/DiscloseComplianceServicePort/GetActivities

Content-Type: text/xml; charset=UTF-8

Content-Length: 472

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:get="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/GetActivities">
  <soapenv:Header/>
  <soapenv:Body>
    <get:GetActivities>
      <get:SchemaVersion>1.0</get:SchemaVersion>
      <get:Request>
        <get:ComplianceType>FmcrFundUpdate</get:ComplianceType>
      </get:Request>
    </get:GetActivities>
  </soapenv:Body>
</soapenv:Envelope>
```

GetActivities response: details of user's fund update compliance activity

```
<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">
  <SOAP-ENV:Header />
  <SOAP-ENV:Body>
    <target:GetActivitiesResponse xmlns:target="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/GetActivities">
      <target:Criteria>
```



```
<target:ComplianceType>FmcrFundUpdate</target:ComplianceType>
</target:Criteria>
<target:Result>
  <target:Activity>
    <target:ComplianceType>FmcrFundUpdate</target:ComplianceType>
    <target:SchemeNumber>SCH13689</target:SchemeNumber>
    <target:OfferNumber>OFR13690</target:OfferNumber>
    <target:FundNumber>FND5673</target:FundNumber>
    <target:LastComplianceFiling>
      <target:ReportingPeriod>2021-03-31+13:00</target:ReportingPeriod>
      <target:DueDate>2021-05-05+12:00</target:DueDate>
      <target:Status>completed</target:Status>
    </target:LastComplianceFiling>
    <target:NextComplianceFiling>
      <target:ReportingPeriod>2021-06-30+12:00</target:ReportingPeriod>
      <target:DueDate>2021-08-04+12:00</target:DueDate>
      <target:Status>active</target:Status>
    </target:NextComplianceFiling>
  </target:Activity>
  <target:Activity>
    <target:ComplianceType>FmcrFundUpdate</target:ComplianceType>
    <target:SchemeNumber>SCH13678</target:SchemeNumber>
    <target:OfferNumber>OFR13679</target:OfferNumber>
    <target:FundNumber>FND5648</target:FundNumber>
    <target:LastComplianceFiling>
      <target:ReportingPeriod>2021-06-30+12:00</target:ReportingPeriod>
      <target:DueDate>2021-08-04+12:00</target:DueDate>
      <target:Status>completed</target:Status>
    </target:LastComplianceFiling>
    <target:NextComplianceFiling>
      <target:ReportingPeriod>2021-09-30+13:00</target:ReportingPeriod>
      <target:DueDate>2021-11-04+13:00</target:DueDate>
      <target:Status>active</target:Status>
    </target:NextComplianceFiling>
  </target:Activity>
</target:Result>
</target:Criteria>
```



```
        </target:NextComplianceFiling>
    </target:Activity>
    <target:Activity>
        <target:ComplianceType>FmcrFundUpdate</target:ComplianceType>
        <target:SchemeNumber>SCH13678</target:SchemeNumber>
        <target:OfferNumber>OFR13680</target:OfferNumber>
        <target:FundNumber>FND5651</target:FundNumber>
        <target:LastComplianceFiling>
            <target:ReportingPeriod>2021-06-30+12:00</target:ReportingPeriod>
            <target:DueDate>2021-08-04+12:00</target:DueDate>
            <target:Status>completed</target:Status>
        </target:LastComplianceFiling>
        <target:NextComplianceFiling>
            <target:ReportingPeriod>2021-09-30+13:00</target:ReportingPeriod>
            <target:DueDate>2021-11-04+13:00</target:DueDate>
            <target:Status>active</target:Status>
        </target:NextComplianceFiling>
    </target:Activity>
</target:Result>
</target:GetActivitiesResponse>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

GetActivities request: retrieve details of user's full portfolio holding compliance activity

POST https://api.business.govt.nz/sandbox/companies-office/disclose-register/DiscloseCompliance/v2
SOAPAction: http://data.business.govt.nz/services/FMCR/DiscloseCompliance/DiscloseComplianceServicePort/GetActivities
Content-Type: text/xml; charset=UTF-8
Content-Length: 482

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:get="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/GetActivities">
```



```
<soapenv:Header/>
<soapenv:Body>
  <get:GetActivities>
    <get:SchemaVersion>1.0</get:SchemaVersion>
    <get:Request>
      <get:ComplianceType>FmcrFullPortfolioHolding</get:ComplianceType>
    </get:Request>
  </get:GetActivities>
</soapenv:Body>
</soapenv:Envelope>
```

GetActivities response: details of user's full portfolio holding compliance activity

```
<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">
  <SOAP-ENV:Header />
  <SOAP-ENV:Body>
    <target:GetActivitiesResponse xmlns:target="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/GetActivities">
      <target:Criteria>
        <target:ComplianceType>FmcrFullPortfolioHolding</target:ComplianceType>
      </target:Criteria>
      <target:Result>
        <target:Activity>
          <target:ComplianceType>FmcrFullPortfolioHolding</target:ComplianceType>
          <target:SchemeNumber>SCH13678</target:SchemeNumber>
          <target:OfferNumber>OFR13680</target:OfferNumber>
          <target:FundNumber>FND5651</target:FundNumber>
          <target:LastComplianceFiling>
            <target:ReportingPeriod>2021-03-31+13:00</target:ReportingPeriod>
            <target:DueDate>2021-05-26+12:00</target:DueDate>
            <target:Status>completed</target:Status>
          </target:LastComplianceFiling>
          <target:NextComplianceFiling>
```



```
<target:ReportingPeriod>2021-09-30+13:00</target:ReportingPeriod>
<target:DueDate>2021-11-25+13:00</target:DueDate>
<target:Status>active</target:Status>
</target:NextComplianceFiling>
</target:Activity>
<target:Activity>
  <target:ComplianceType>FmcrFullPortfolioHolding</target:ComplianceType>
  <target:SchemeNumber>SCH13689</target:SchemeNumber>
  <target:OfferNumber>OFR13690</target:OfferNumber>
  <target:FundNumber>FND5673</target:FundNumber>
  <target:LastComplianceFiling>
    <target:ReportingPeriod>2024-03-31+13:00</target:ReportingPeriod>
    <target:DueDate>2024-05-24+12:00</target:DueDate>
    <target:Status>completed</target:Status>
  </target:LastComplianceFiling>
  <target:NextComplianceFiling>
    <target:ReportingPeriod>2024-09-30+13:00</target:ReportingPeriod>
    <target:DueDate>2024-11-25+13:00</target:DueDate>
    <target:Status>active</target:Status>
  </target:NextComplianceFiling>
</target:Activity>
<target:Activity>
  <target:ComplianceType>FmcrFullPortfolioHolding</target:ComplianceType>
  <target:SchemeNumber>SCH13678</target:SchemeNumber>
  <target:OfferNumber>OFR13679</target:OfferNumber>
  <target:FundNumber>FND5648</target:FundNumber>
  <target:LastComplianceFiling>
    <target:ReportingPeriod>2024-09-30+13:00</target:ReportingPeriod>
    <target:DueDate>2024-11-25+13:00</target:DueDate>
    <target:Status>completed</target:Status>
  </target:LastComplianceFiling>
  <target:NextComplianceFiling>
    <target:ReportingPeriod>2025-03-31+13:00</target:ReportingPeriod>
```



```
<target:DueDate>2025-05-26+12:00</target:DueDate>
<target:Status>active</target:Status>
</target:NextComplianceFiling>
</target:Activity>
</target:Result>
</target:GetActivitiesResponse>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

SUBMITFPHCOMPLIANCE

SubmitFPHCompliance request

POST https://api.business.govt.nz/sandbox/companies-office/disclose-register/DiscloseCompliance/v2

SOAPAction: http://data.business.govt.nz/services/FMCR/DiscloseCompliance/DiscloseComplianceServicePort/SubmitFPHCompliance

Content-Type: text/xml; charset=UTF-8

Content-Length: 1598

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:sub="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/SubmitFPHCompliance" xmlns:com="http://data.business.govt.nz/services/FMCR/CommonTypes">
  <soapenv:Header/>
  <soapenv:Body>
    <sub:SubmitFPHCompliance>
      <sub:SchemaVersion>1.0</sub:SchemaVersion>
      <sub:Request>
        <sub:OfferNumber>OFR13680</sub:OfferNumber>
        <sub:FundNumber>FND5651</sub:FundNumber>
        <sub:FPHChangeDetails>
          <sub:FundUpdateChangeDetailsRecord>
            <com:ReportingPeriod>2021-09-30</com:ReportingPeriod>
            <com:ComplianceFMAExemptionYn>false</com:ComplianceFMAExemptionYn>
            <com:ConfirmationYn>true</com:ConfirmationYn>
          </sub:FundUpdateChangeDetailsRecord>
        </sub:FPHChangeDetails>
      </sub:Request>
    </sub:SubmitFPHCompliance>
  </soapenv:Body>
</soapenv:Envelope>
```



```
</sub:FundUpdateChangeDetailsRecord>
</sub:FPHChangeDetails>
<sub:FullPortfolioHoldingsData>
  <com:FullPortfolioHoldingsRecord>
    <com:AssetName>Test NZ Cash Fund </com:AssetName>
    <com:AssetProportion>98.99</com:AssetProportion><com:AssetCode>NZ000254156</com:AssetCode>
  </com:FullPortfolioHoldingsRecord><com:FullPortfolioHoldingsRecord><com:AssetName>Apple Inc </com:AssetName><com:AssetProportion>-
0.19</com:AssetProportion><com:AssetCode>US000147899</com:AssetCode></com:FullPortfolioHoldingsRecord>
  </sub:FullPortfolioHoldingsData>
</sub:Request>
</sub:SubmitFPHCompliance>
</soapenv:Body>
</soapenv:Envelope>
```

SubmitFPHCompliance response: successful submission

```
<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">
  <SOAP-ENV:Header />
  <SOAP-ENV:Body>
    <target:SubmitFPHComplianceResponse xmlns:target="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/SubmitFPHCompliance" xmlns:com="http://data.business.govt.nz/services/FMCR/CommonTypes">
      <target:Result>
        <com:Status>success</com:Status>
        <com:OfferVersionNumber>14</com:OfferVersionNumber>
      </target:Result>
      <target:Response>
        <target:OfferNumber>OFR13680</target:OfferNumber>
        <target:FundNumber>FND5651</target:FundNumber>
        <target:FPHChangeDetails>
          <target:FundUpdateChangeDetailsRecord>
            <com:ReportingPeriod>2021-09-30+13:00</com:ReportingPeriod>
            <com:ComplianceFMAExemptionYn>false</com:ComplianceFMAExemptionYn>
          </target:FundUpdateChangeDetailsRecord>
        </target:FPHChangeDetails>
      </target:Response>
    </target:SubmitFPHComplianceResponse>
  </SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```



```
<com:ComplianceFMAExemptionDescription />
<com:ConfirmationYn>true</com:ConfirmationYn>
</target:FundUpdateChangeDetailsRecord>
</target:FPHChangeDetails>
<target:FullPortfolioHoldings>
  <com:RegistrationDocument>
    <com:FileName>NEW FUND FROM ESB (FND5651) Full portfolio holdings 30 Sep 2021.csv</com:FileName>
    <com:DocumentDate>2022-07-26T12:19:26.806+12:00</com:DocumentDate>
    <com:ContentType>text/csv</com:ContentType>
    <com:DrmKey>4c17f603b2b9a6ee</com:DrmKey>
  </com:RegistrationDocument>
</target:FullPortfolioHoldings>
</target:Response>
</target:SubmitFPHComplianceResponse>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

SubmitFPHCompliance response: incorrect fund reporting period in request

SUBMITFUND

SubmitFund request

POST https://api.business.govt.nz/sandbox/companies-office/disclose-register/DiscloseCompliance/v2
SOAPAction: http://data.business.govt.nz/services/FMCR/DiscloseCompliance/DiscloseComplianceServicePort/SubmitFund
Content-Type: text/xml; charset=UTF-8
Content-Length: 7505

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:sub="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/SubmitFund" xmlns:com="http://data.business.govt.nz/services/FMCR/CommonTypes">
```



```
<soapenv:Header/>
<soapenv:Body>
  <sub:SubmitFund>
    <sub:SchemaVersion>1.0</sub:SchemaVersion>
    <sub:Request>
      <sub:OfferNumber>OFR10721</sub:OfferNumber>
      <sub:FundName>NEW FUND FROM ESB</sub:FundName>
      <sub:FundClassificationCode>MULT_ASSET_CLASS</sub:FundClassificationCode>
      <sub:FundDescription>The Aspiring Fund principally invests in listed Australasian equities, although it may invest in a
ny asset class (including foreign shares, investments in unlisted entities, underwriting arrangements, debt securities, and property).
The principal objective of the Fund is to achieve positive absolute returns averaging atleast 4% over inflation (after fees and expense
s but before tax) over the long term</sub:FundDescription>
      <sub:RiskRewardIndicatorCode>4</sub:RiskRewardIndicatorCode>
      <sub:FundTotalValue>5645000</sub:FundTotalValue>
      <sub:FundTotalCurrencyCode>NZD</sub:FundTotalCurrencyCode>
      <sub:NumberOfInvestors>33</sub:NumberOfInvestors>
      <sub:FundStartDate>2015-03-01</sub:FundStartDate>
      <sub:MarketIndexDescription>The blended market index returns provided are based on the market indices (All Ordinaries A
ccumulation index in NZ$ and the NZ50 Gross index) for the 2 markets in which the majority of the Fund is invested. The blended index r
eturns are calculated by taking the average weighting of the Fund's equity exposure to both the New Zealand and Australian markets, and
applying this to the returns of the All Ordinaries Accumulation index in NZ$ and the NZ50 Gross index. The NZ50 Gross index measures t
he performance of the 50 largest, eligible stocks listed on the Main Board (NZSX) of the NZX by float-
adjusted market capitalization. The All Ordinaries Accumulation index represents the 500 largest companies listed on the Main Board of
the ASX and assumes that dividends are reinvested. Market capitalisation is the only eligibility requirement of the constituents with t
he exception of foreign domiciled companies.</sub:MarketIndexDescription>
      <sub:PastYearReturnNet>11.69</sub:PastYearReturnNet>
      <sub:PastYearReturnTaxGross>13.33</sub:PastYearReturnTaxGross>
      <sub:MarketIndexPastYearReturnGross>12.25</sub:MarketIndexPastYearReturnGross>
      <sub:AverageFiveYearReturnNet>13.04</sub:AverageFiveYearReturnNet>
      <sub:AverageFiveYearReturnTaxGross>9.73</sub:AverageFiveYearReturnTaxGross>
      <sub:MarketIndexFiveYearReturnGross>11.58</sub:MarketIndexFiveYearReturnGross>
      <sub:AnnualPastPerformances>
        <com:AnnualPastPerformance>
```



```
<com:ReturnPeriodEndDate>2016-03-31</com:ReturnPeriodEndDate>
<com:ReturnPercentage>16.87</com:ReturnPercentage>
<com:MarketIndexReturnPercentage>13.48</com:MarketIndexReturnPercentage>
</com:AnnualPastPerformance>
</sub:AnnualPastPerformances>
<sub:PerformanceSinceInceptionReturnNet>11.63</sub:PerformanceSinceInceptionReturnNet>
<sub:MarketIndexSinceInceptionReturnGross>6.73</sub:MarketIndexSinceInceptionReturnGross>
<sub:TotalAnnualFundCharge>2.27</sub:TotalAnnualFundCharge>
<sub:AnnualManagementFee>1.02</sub:AnnualManagementFee>
<sub:PerformanceBasedFees>0.27</sub:PerformanceBasedFees>
<sub:OtherFeesAndCosts>0.98</sub:OtherFeesAndCosts>
<sub:PerformanceBasedFeesApplyYn>true</sub:PerformanceBasedFeesApplyYn>
<sub:ContributionFeesCode>PERCENTAGE</sub:ContributionFeesCode>
<sub:ContributionFeesPercentage>19.13</sub:ContributionFeesPercentage>
<sub:WithdrawalFeesCode>OTHER</sub:WithdrawalFeesCode>
<sub:WithdrawalFeesOther>Overall withdraw $800</sub:WithdrawalFeesOther>
<sub:TotalAmountOfOtherCharges>4.71</sub:TotalAmountOfOtherCharges>
<sub:TotalAmountOfOtherChargesCurrencyCode>NZD</sub:TotalAmountOfOtherChargesCurrencyCode>
<sub:IndividualActionChargesApplyYn>true</sub:IndividualActionChargesApplyYn>
<sub:SyntheticTotalExpenseRatio>0</sub:SyntheticTotalExpenseRatio>
<sub:TargetAssets>
  <com:TargetAssetMix>
    <com:TargetAssetType>CASH_AND_EQUIVALENTS</com:TargetAssetType>
    <com:AssetValue>11.31</com:AssetValue>
  </com:TargetAssetMix>
</sub:TargetAssets>
<sub:ActualAssets>
  <com:ActualAssetMix>
    <com:ActualAssetType>CASH_AND_EQUIVALENTS</com:ActualAssetType>
    <com:AssetValue>28.95</com:AssetValue>
  </com:ActualAssetMix>
</sub:ActualAssets>
<sub:TopTenInvestments>
```



```
<com:TopTenInvestment>
  <com:AssetName>TEST CALL A/C (NZD)</com:AssetName>
  <com:AssetProportion>21.1623</com:AssetProportion>
  <com:AssetType>CASH_AND_EQUIVALENTS</com:AssetType>
  <com:AssetCountryCode>NZ</com:AssetCountryCode>
  <com:AssetCreditRating>AAA+</com:AssetCreditRating>
</com:TopTenInvestment>
</sub:TopTenInvestments>
<sub:LiquidityRatio>99.03</sub:LiquidityRatio>
<sub:DebtRatio>0</sub:DebtRatio>
<sub:KeyPersonnelRecords>
  <com:KeyPersonnelRecord>
    <com:PersonName>Murray Tester</com:PersonName>
    <com:PersonPosition>Director</com:PersonPosition>
    <com:TimeInPositionYears>5</com:TimeInPositionYears>
    <com:TimeInPositionMonths>6</com:TimeInPositionMonths>
    <com:PersonPositionPrevious>General Manager</com:PersonPositionPrevious>
    <com:TimeInPositionPreviousYears>7</com:TimeInPositionPreviousYears>
    <com:TimeInPositionPreviousMonths>4</com:TimeInPositionPreviousMonths>
  </com:KeyPersonnelRecord>
  <com:KeyPersonnelRecord>
    <com:PersonName>Stephen Tester</com:PersonName>
    <com:PersonPosition>Director </com:PersonPosition>
    <com:TimeInPositionYears>3</com:TimeInPositionYears>
    <com:TimeInPositionMonths>1</com:TimeInPositionMonths>
    <com:PersonPositionPrevious>CEO</com:PersonPositionPrevious>
    <com:TimeInPositionPreviousYears>10</com:TimeInPositionPreviousYears>
    <com:TimeInPositionPreviousMonths>9</com:TimeInPositionPreviousMonths>
  </com:KeyPersonnelRecord>
</sub:KeyPersonnelRecords>
</sub:Request>
</sub:SubmitFund>
</soapenv:Body>
```



```
</soapenv:Envelope>
```

SubmitFund response: success

```
<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">
  <SOAP-ENV:Header />
  <SOAP-ENV:Body>
    <sub:SubmitFundResponse xmlns:sub="http://data.business.govt.nz/services/FMCR/DiscloseCompliance/SubmitFund" xmlns:com="http://data.business.govt.nz/services/FMCR/CommonTypes">
      <sub:Result>
        <com:Status>success</com:Status>
      </sub:Result>
      <sub:SubmitFundResponse>
        <sub:OfferNumber>OFR10721</sub:OfferNumber>
        <sub:FundName>NEW FUND FROM ESB</sub:FundName>
        <sub:FundClassificationCode>MULT_ASSET_CLASS</sub:FundClassificationCode>
        <sub:FundDescription>The Aspiring Fund principally invests in listed Australasian equities, although it may invest in a
ny asset class (including foreign shares, investments in unlisted entities, underwriting arrangements, debt securities, and property).
The principal objective of the Fund is to achieve positive absolute returns averaging atleast 4% over inflation (after fees and expense
s but before tax) over the long term</sub:FundDescription>
        <sub:RiskRewardIndicatorCode>4</sub:RiskRewardIndicatorCode>
        <sub:FundTotalValue>5645000</sub:FundTotalValue>
        <sub:FundTotalCurrencyCode>NZD</sub:FundTotalCurrencyCode>
        <sub:NumberOfInvestors>33</sub:NumberOfInvestors>
        <sub:FundStartDate>2015-03-01+13:00</sub:FundStartDate>
        <sub:MarketIndexDescription>The blended market index returns provided are based on the market indices (All Ordinaries A
ccumulation index in NZ$ and the NZ50 Gross index) for the 2 markets in which the majority of the Fund is invested. The blended index r
eturns are calculated by taking the average weighting of the Fund's equity exposure to both the New Zealand and Australian markets, and
applying this to the returns of the All Ordinaries Accumulation index in NZ$ and the NZ50 Gross index. The NZ50 Gross index measures t
he performance of the 50 largest, eligible stocks listed on the Main Board (NZSX) of the NZX by float-
adjusted market capitalization. The All Ordinaries Accumulation index represents the 500 largest companies listed on the Main Board of
```



the ASX and assumes that dividends are reinvested. Market capitalisation is the only eligibility requirement of the constituents with the exception of foreign domiciled companies.

```
<sub:PastYearReturnNet>11.69</sub:PastYearReturnNet>
<sub:PastYearReturnTaxGross>13.33</sub:PastYearReturnTaxGross>
<sub:MarketIndexPastYearReturnGross>12.25</sub:MarketIndexPastYearReturnGross>
<sub:AverageFiveYearReturnNet>13.04</sub:AverageFiveYearReturnNet>
<sub:AverageFiveYearReturnTaxGross>9.73</sub:AverageFiveYearReturnTaxGross>
<sub:MarketIndexFiveYearReturnGross>11.58</sub:MarketIndexFiveYearReturnGross>
<sub:AnnualPastPerformances>
  <com:AnnualPastPerformance>
    <com:ReturnPeriodEndDate>2016-03-31+13:00</com:ReturnPeriodEndDate>
    <com:ReturnPercentage>16.87</com:ReturnPercentage>
    <com:MarketIndexReturnPercentage>13.48</com:MarketIndexReturnPercentage>
  </com:AnnualPastPerformance>
</sub:AnnualPastPerformances>
<sub:PerformanceSinceInceptionReturnNet>11.63</sub:PerformanceSinceInceptionReturnNet>
<sub:MarketIndexSinceInceptionReturnGross>6.73</sub:MarketIndexSinceInceptionReturnGross>
<sub>TotalAnnualFundCharge>2.27</sub>TotalAnnualFundCharge>
<sub:AnnualManagementFee>1.02</sub:AnnualManagementFee>
<sub:PerformanceBasedFees>0.27</sub:PerformanceBasedFees>
<sub:OtherFeesAndCosts>0.98</sub:OtherFeesAndCosts>
<sub:PerformanceBasedFeesApplyYn>true</sub:PerformanceBasedFeesApplyYn>
<sub:ContributionFeesCode>PERCENTAGE</sub:ContributionFeesCode>
<sub:ContributionFeesPercentage>19.13</sub:ContributionFeesPercentage>
<sub:WithdrawalFeesCode>OTHER</sub:WithdrawalFeesCode>
<sub:WithdrawalFeesOther>Overall withdraw $800</sub:WithdrawalFeesOther>
<sub>TotalAmountOfOtherCharges>4.71</sub>TotalAmountOfOtherCharges>
<sub>TotalAmountOfOtherChargesCurrencyCode>NZD</sub>TotalAmountOfOtherChargesCurrencyCode>
<sub:IndividualActionChargesApplyYn>true</sub:IndividualActionChargesApplyYn>
<sub:SyntheticTotalExpenseRatio>0</sub:SyntheticTotalExpenseRatio>
<sub:TargetAssets>
  <com:TargetAssetMix>
    <com:TargetAssetType>CASH_AND_EQUIVALENTS</com:TargetAssetType>
```



```
<com:AssetValue>11.31</com:AssetValue>
</com:TargetAssetMix>
</sub:TargetAssets>
<sub:ActualAssets>
  <com:ActualAssetMix>
    <com:ActualAssetType>CASH_AND_EQUIVALENTS</com:ActualAssetType>
    <com:AssetValue>28.95</com:AssetValue>
  </com:ActualAssetMix>
</sub:ActualAssets>
<sub:TopTenInvestments>
  <com:TopTenInvestment>
    <com:AssetName>TEST CALL A/C (NZD)</com:AssetName>
    <com:AssetProportion>21.1623</com:AssetProportion>
    <com:AssetType>CASH_AND_EQUIVALENTS</com:AssetType>
    <com:AssetCountryCode>NZ</com:AssetCountryCode>
    <com:AssetCreditRating>AAA+</com:AssetCreditRating>
  </com:TopTenInvestment>
</sub:TopTenInvestments>
<sub:TopTenInvestmentsProportion>21.1623</sub:TopTenInvestmentsProportion>
<sub:LiquidityRatio>99.03</sub:LiquidityRatio>
<sub:DebtRatio>0</sub:DebtRatio>
<sub:KeyPersonnelRecords>
  <com:KeyPersonnelRecord>
    <com:PersonName>MURRAY TESTER</com:PersonName>
    <com:PersonPosition>Director</com:PersonPosition>
    <com:TimeInPositionYears>5</com:TimeInPositionYears>
    <com:TimeInPositionMonths>6</com:TimeInPositionMonths>
    <com:PersonPositionPrevious>General Manager</com:PersonPositionPrevious>
    <com:TimeInPositionPreviousYears>7</com:TimeInPositionPreviousYears>
    <com:TimeInPositionPreviousMonths>4</com:TimeInPositionPreviousMonths>
  </com:KeyPersonnelRecord>
  <com:KeyPersonnelRecord>
    <com:PersonName>STEPHEN TESTER</com:PersonName>
```



```
<com:PersonPosition>Director</com:PersonPosition>
<com:TimeInPositionYears>3</com:TimeInPositionYears>
<com:TimeInPositionMonths>1</com:TimeInPositionMonths>
<com:PersonPositionPrevious>CEO</com:PersonPositionPrevious>
<com:TimeInPositionPreviousYears>10</com:TimeInPositionPreviousYears>
<com:TimeInPositionPreviousMonths>9</com:TimeInPositionPreviousMonths>
  </com:KeyPersonnelRecord>
</sub:KeyPersonnelRecords>
<sub:FundReturnsData />
<sub:FundReturns />
<sub:FullPortfolioHoldings />
<sub:FundUpdate />
</sub:SubmitFundResponse>
</sub:SubmitFundResponse>
</SOAP-ENV:Body>
</SOAP-ENV:Envelope>
```

SubmitFund response: failed - fund name omitted

SubmitFund response: failed - attempt to submit fund to a non-managed fund offer

SUBMITFUNDUPDATECOMPLIANCE

SubmitFundUpdateCompliance request

POST https://api.business.govt.nz/sandbox/companies-office/disclose-register/DiscloseCompliance/v2
SOAPAction: http://data.business.govt.nz/services/FMCR/DiscloseCompliance/DiscloseComplianceServicePort/SubmitFundUpdateCompliance
Content-Type: text/xml; charset=UTF-8
Content-Length: 177510



```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:sub="http://data.business.govt.nz/services/FMCR/DisclosureCompliance/SubmitFundUpdateCompliance" xmlns:com="http://data.business.govt.nz/services/FMCR/CommonTypes">
  <soapenv:Header/>
  <soapenv:Body>
    <sub:SubmitFundUpdateCompliance>
      <sub:SchemaVersion>1.0</sub:SchemaVersion>
      <sub:Request>
        <sub:FundNumber>FND5648</sub:FundNumber>
        <sub:OfferNumber>OFR13679</sub:OfferNumber>
        <sub:FundName>NEW FUND FROM ESB</sub:FundName>
        <sub:FundUpdateChangeDetailsRecord>
          <com:ReportingPeriod>2021-09-30</com:ReportingPeriod>
          <com:ComplianceFMAExemptionYn>false</com:ComplianceFMAExemptionYn>
          <com:ConfirmationYn>true</com:ConfirmationYn>
        </sub:FundUpdateChangeDetailsRecord>
        <sub:FundClassificationCode>NZ_FIXED_INTEREST</sub:FundClassificationCode>
        <sub:FundDescription>The Cash fund invests in cash. This fund may be suitable for investors who do not want a nominal loss in the value of their investment and where the funds may be required in the shorter term.</sub:FundDescription>
        <sub:RiskRewardIndicatorCode>2</sub:RiskRewardIndicatorCode>
        <sub:FundTotalValue>6715353</sub:FundTotalValue>
        <sub:FundTotalCurrencyCode>NZD</sub:FundTotalCurrencyCode>
        <sub:NumberOfInvestors>56</sub:NumberOfInvestors>
        <sub:FundStartDate>2015-10-02</sub:FundStartDate>
        <sub:MarketIndexDescription>The blended market index returns provided are based on the market indices (All Ordinaries Accumulation index in NZ$ and the NZ50 Gross index) for the 2 markets in which the majority of the Fund is invested. The blended index returns are calculated by taking the average weighting of the Fund's equity exposure to both the New Zealand and Australian markets, and applying this to the returns of the All Ordinaries Accumulation index in NZ$ and the NZ50 Gross index. The NZ50 Gross index measures the performance of the 50 largest, eligible stocks listed on the Main Board (NZSX) of the NZX by float-adjusted market capitalization. The All Ordinaries Accumulation index represents the 500 largest companies listed on the Main Board of the ASX and assumes that dividends are reinvested. Market capitalisation is the only eligibility requirement of the constituents with the exception of foreign domiciled companies.</sub:MarketIndexDescription>
        <sub:PastYearReturnNet>1.19</sub:PastYearReturnNet>
      </sub:Request>
    </sub:SubmitFundUpdateCompliance>
  </soapenv:Body>
</soapenv:Envelope>
```



```
<sub:PastYearReturnTaxGross>0.14</sub:PastYearReturnTaxGross>
<sub:MarketIndexPastYearReturnGross>2.89</sub:MarketIndexPastYearReturnGross>
<sub:AverageFiveYearReturnNet>1.35</sub:AverageFiveYearReturnNet>
<sub:AverageFiveYearReturnTaxGross>6.28</sub:AverageFiveYearReturnTaxGross>
<sub:MarketIndexFiveYearReturnGross>0.01</sub:MarketIndexFiveYearReturnGross>
<sub:AnnualPastPerformances>
  <com:AnnualPastPerformance>
    <com:ReturnPeriodEndDate>2016-03-31Z</com:ReturnPeriodEndDate>
    <com:ReturnPercentage>16.48</com:ReturnPercentage>
    <com:MarketIndexReturnPercentage>11.47</com:MarketIndexReturnPercentage>
  </com:AnnualPastPerformance>
  <com:AnnualPastPerformance>
    <com:ReturnPeriodEndDate>2015-03-31</com:ReturnPeriodEndDate>
    <com:ReturnPercentage>28.11</com:ReturnPercentage>
    <com:MarketIndexReturnPercentage>9.45</com:MarketIndexReturnPercentage>
  </com:AnnualPastPerformance>
</sub:AnnualPastPerformances>
<sub:PerformanceSinceInceptionReturnNet>1.37</sub:PerformanceSinceInceptionReturnNet>
<sub:MarketIndexSinceInceptionReturnGross>11.36</sub:MarketIndexSinceInceptionReturnGross>
<sub>TotalAnnualFundCharge>8.09</sub>TotalAnnualFundCharge>
<sub:AnnualManagementFee>4.32</sub:AnnualManagementFee>
<sub:PerformanceBasedFees>0.15</sub:PerformanceBasedFees>
<sub:OtherFeesAndCosts>0</sub:OtherFeesAndCosts>
<sub:PerformanceBasedFeesApplyYn>true</sub:PerformanceBasedFeesApplyYn>
<sub:ContributionFeesCode>OTHER</sub:ContributionFeesCode>
<sub:ContributionFeesOther>Overall $1150</sub:ContributionFeesOther>
<sub:WithdrawalFeesCode>OTHER</sub:WithdrawalFeesCode>
<sub:WithdrawalFeesOther>Overall $800</sub:WithdrawalFeesOther>
<sub>TotalAmountOfOtherCharges>30</sub>TotalAmountOfOtherCharges>
<sub>TotalAmountOfOtherChargesCurrencyCode>NZD</sub>TotalAmountOfOtherChargesCurrencyCode>
<sub:IndividualActionChargesApplyYn>true</sub:IndividualActionChargesApplyYn>
<sub:SyntheticTotalExpenseRatio>0</sub:SyntheticTotalExpenseRatio>
<sub:TargetAssets>
```



```
<com:TargetAssetMix>
  <com:TargetAssetType>CASH_AND_EQUIVALENTS</com:TargetAssetType>
  <com:AssetValue>20-35%</com:AssetValue>
</com:TargetAssetMix>
</sub:TargetAssets>
<sub:ActualAssets>
  <com:ActualAssetMix>
    <com:ActualAssetType>AUSTRALASIAN_EQUITIES</com:ActualAssetType>
    <com:AssetValue>23.45</com:AssetValue>
  </com:ActualAssetMix>
</sub:ActualAssets>
<sub:TopTenInvestments>
  <com:TopTenInvestment>
    <com:AssetName>Test NZ cash Fund </com:AssetName>
    <com:AssetProportion>98.99</com:AssetProportion>
    <com:AssetType>CASH_AND_EQUIVALENTS</com:AssetType>
    <com:AssetCountryCode>NZ</com:AssetCountryCode>
    <com:AssetCreditRating>N/A</com:AssetCreditRating>
  </com:TopTenInvestment>
</sub:TopTenInvestments>
<sub:LiquidityRatio>100</sub:LiquidityRatio>
<sub:DebtRatio>0.13</sub:DebtRatio>
<sub:KeyPersonnelRecords>
  <com:KeyPersonnelRecord>
    <com:PersonName>ROSS TESTER</com:PersonName>
    <com:PersonPosition>Chairman - Mercer Investment Nominees (NZ) Ltd</com:PersonPosition>
    <com:TimeInPositionYears>9</com:TimeInPositionYears>
    <com:TimeInPositionMonths>3</com:TimeInPositionMonths>
    <com:PersonPositionPrevious>Chairman - Test (N.Z) Ltd</com:PersonPositionPrevious>
    <com:TimeInPositionPreviousYears>7</com:TimeInPositionPreviousYears>
    <com:TimeInPositionPreviousMonths>8</com:TimeInPositionPreviousMonths>
  </com:KeyPersonnelRecord>
</sub:KeyPersonnelRecords>
```



```
<sub:FundReturnsData>
  <com:ReturnRecords>
    <com:ReturnDate>2016-09-30Z</com:ReturnDate>
    <com:ReturnPercentage>0.39</com:ReturnPercentage>
  </com:ReturnRecords>
  <com:ReturnRecords>
    <com:ReturnDate>2015-03-31Z</com:ReturnDate>
    <com:ReturnPercentage>-1.24</com:ReturnPercentage>
  </com:ReturnRecords>
  <com:ReturnRecords>
    <com:ReturnDate>2014-03-31</com:ReturnDate>
    <com:ReturnPercentage>-0.01</com:ReturnPercentage>
  </com:ReturnRecords>
  <com:ReturnRecords>
    <com:ReturnDate>2013-03-31</com:ReturnDate>
    <com:ReturnPercentage>100</com:ReturnPercentage>
  </com:ReturnRecords>
</sub:FundReturnsData>
<sub:FundUpdate>
  <com:RegistrationDocument>
    <com:FileName>Fund Update Test Doc.pdf</com:FileName>
    <com:DocumentDate>2016-05-26T00:00:00.000Z</com:DocumentDate>
    <com:ContentType>application/pdf</com:ContentType>
    <com:Content>JVBERi0xLjUNC
    ...
    MjgwDQo1JUVPRg==</com:Content>
  </com:RegistrationDocument>
</sub:FundUpdate>
</sub:Request>
</sub:SubmitFundUpdateCompliance>
</soapenv:Body>
</soapenv:Envelope>
```



SubmitFundUpdateCompliance response: success

SubmitFundUpdateCompliance response: failed - compliance for reporting period already completed