



## NZX Limited - Monthly Shareholder Metrics

### January 2017

These Shareholder Metrics represent the key features of NZX's operations in each of its core businesses. The Metrics focus on what drives the revenue performance of NZX, so as to give a consistent and transparent comparison across time periods for each business line.

## Markets

NZX Listed Issuers	Jan 2017	Change YoY
Total Equity Securities	169	-2.3%
Total Listed Debt Securities	107	20.2%
Total Other Securities	27	0.0%
Total Listed Securities	303	4.8%
Total NZX Main Board Issuers	166	-1.8%
Total NZAX Issuers	18	-10.0%
Total NXT Issuers	4	100.0%
Total NZDX Issuers	43	7.5%

Capital Raising	Jan 2017	YTD
<b>New Capital Listed</b>		
IPOs and Compliance Listings	\$0.00 b	\$0.00 b
New Debt Listings	\$0.00 b	\$0.00 b

<b>Secondary Capital Raisings</b>		
Total Capital Raised By All Issuers	\$49 m	\$49 m
Total Equity Raised - Primary Issuers	\$16 m	\$16 m
Total Equity Raised - Dual & Secondary Issuers	\$0 m	\$0 m
Total Debt Raised	\$33 m	\$33 m
Number of Capital Raising Events	8	8
Capital Raised < \$0.5m	3	3
Capital Raised > \$0.5m < \$10m	3	3
Capital Raised > \$10m < \$100m	2	2
Capital Raised > \$100m	0	0

Market Capitalisation	Jan 2017	Change YoY	% of GDP
All Equity	\$116.9 b	8.3%	45.6%
All Debt	\$25.7 b	29.7%	10.0%

NZX Indices Performance	Jan 2017	Change YoY
S&P/NZX 50 Index	7,051	14.3%
S&P/NZX 50 Portfolio Index	4,323	13.0%
S&P/NZX A-Grade Bond Index	4,891	3.2%
S&P/NZX All Swap Index	193	2.4%

Cash Market Trading	Jan 2017	Change YoY
Total Trades	110,935	-12.0%
Daily Average Trades	5,547	-16.4%
Total Trades < \$50k	104,757	-12.6%
Total Value Traded	\$2.2 b	2.3%
Daily Average Value Traded	\$111 m	-2.8%

<b>Total Equity Transactions</b>		
Total Trades	108,668	-12.3%
Value Traded	\$2.1 b	3.0%

<b>Total Debt Transactions</b>		
Total Trades	2,267	4.4%
Value Traded	\$89 m	-11.1%

<b>Cumulative Numbers - YTD</b>		
Number of Trades	110,935	-12.0%
Total Value Traded	\$2.2 b	2.3%

Clearing House / Depository	Jan 2017	Change YoY
Gross Value of Cleared Trades over Month	\$2.3 b	3.2%
Collateral Held At Month End	\$58.5 m	65.3%
Depository transactions	1,578	12.3%
Assets under custody in depository	\$371 m	13.2%
Value of stock lent over month	\$393 m	119.0%

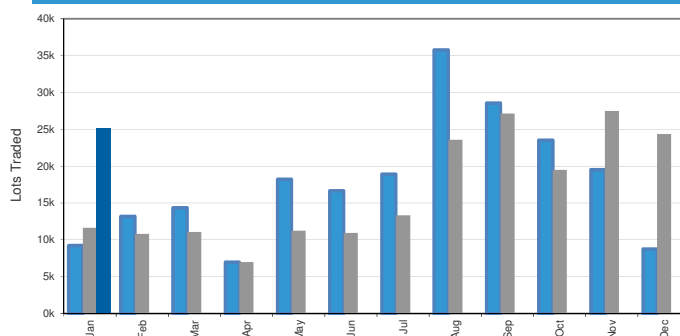
Wholesale Data	Jan 2017	Change YoY
Terminal Numbers - Professional*	6,390	0.5%
Terminal Numbers - Retail*	1,139	-1.5%
Licences - Value > \$20k pa	31	6.9%
Licences - Value < \$20k pa	62	6.9%

\* 3 month average

Direct Data Products	Jan 2017	Change YoY
Proprietary Security Subscription Products	395	3.7%
- Products ≥ \$3,000 p.a.	151	17.1%
- Products < \$3,000 p.a.	244	-3.2%

Derivatives	Jan 2017	Change YoY
Futures - Total Lots Traded	23,517	133.8%
Options - Total Lots Traded	1,660	3.8%
Open Interest	51,644	36.1%

Derivatives Total Lots Traded 2014 / 2015 / 2016



Energy Contracts	Jan 2017
Operating / Technology Contracts	16
- Contracts > = \$500k p.a.	4
- Contracts < \$500k p.a.	12

## Funds Services

SuperLife	Jan 2017	Change YoY
Funds Under Management - KiwiSaver	\$608 m	25.0%
Funds Under Management - Other	\$1,074 m	16.9%
Total	\$1,683 m	19.7%

Smartshares	Jan 2017	Change YoY
Funds Under Management - External	\$499 m	13.3%
Funds Under Management - SuperLife funds	\$1,220 m	15.5%
Total	\$1,718 m	14.9%
Units on Issue	789 m	14.5%

NZX Wealth Technologies	Jan 2017	Change YoY
Funds Under Administration	\$1,285 m	-3.6%
Renamed from Apteryx		

## Agri

Direct Data Products	Jan 2017	Change YoY
Subscriptions - NZ Agri Data Products	2,430	13.3%
Subscription - Australian Agri Data Products	1,486	-7.1%
Total Paid Advertising Page Equivalents	73	35.2%
Total Paid Advertising Page Equivalents YTD	73	35.2%

\*Total paid advertising page equivalents relates to Farmers Weekly only

## Notes

1. All figures are measured at the end of the last trading day of the month unless otherwise stated. Change refers to the change since the same period last year unless otherwise stated i.e. Change YoY is change versus the same period last year.
2. All Equity Market Capitalisation includes all securities quoted on the NZX Main Board, NZX Alternative Market and NXT Market.
3. Market Capitalisation for the NZX Debt market is the total nominal (face) value of all quoted securities excluding New Zealand Government Stock.
4. The Grain Trading season in Australia runs from October to September.
5. NZX Limited wishes to remind readers that the above operational statistics are based on the Group's internal records, which are unaudited. Differences may arise between this data and that disclosed in subsequent audited financial statements.

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