



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	Oct 2016	Change YoY
Total Equity Securities	171	0.0%
Total Listed Debt Securities	101	23.2%
Total Other Securities	26	8.3%
Total Listed Securities	298	7.6%
Total NZX Main Board Issuers	168	3.7%
Total NZAX Issuers	18	-18.2%
Total NXT Issuers	4	300.0%
Total NZDX Issuers	42	10.5%

Capital Raising	Oct 2016	YTD
<b>New Capital Listed</b>		
IPOs and Compliance Listings	\$0.86 b	\$2.12 b
New Debt Listings	\$0.08 b	\$5.38 b

Secondary Capital Raisings	Oct 2016	YTD
Total Capital Raised By All Issuers	\$968 m	\$3,482 m
Total Equity Raised - Primary Issuers	\$328 m	\$1,319 m
Total Equity Raised - Dual & Secondary Issuer:	\$291 m	\$1,167 m
Total Debt Raised	\$349 m	\$997 m
Number of Capital Raising Events	25	209
Capital Raised < \$0.5m	1	71
Capital Raised > \$0.5m < \$10m	6	83
Capital Raised > \$10m < \$100m	17	49
Capital Raised > \$100m	1	6

Market Capitalisation	Oct 2016	Change YoY	% of GDP
All Equity	\$117.0 b	12.3%	46.5%
All Debt	\$24.5 b	81.2%	9.7%

NZX Indices Performance	Oct 2016	Change YoY
S&P/NZX 50 Index	6,961	16.3%
S&P/NZX 50 Portfolio Index	4,256	15.2%
S&P/NZX A-Grade Bond Index	4,926	4.9%
S&P/NZX All Swap Index	196	5.7%

Cash Market Trading	Oct 2016	Change YoY
Total Trades	135,630	9.9%
Daily Average Trades	6,782	15.4%
Total Trades < \$50k	126,498	11.3%
Total Value Traded	\$3.1 b	-28.0%
Daily Average Value Traded	\$157 m	-24.4%

Total Equity Transactions	Oct 2016	Change YoY
Total Trades	132,513	9.6%
Value Traded	\$3.0 b	-30.1%

Total Debt Transactions	Oct 2016	Change YoY
Total Trades	3,117	28.4%
Value Traded	\$164 m	63.7%

Cumulative Numbers - YTD	Oct 2016	Change YoY
Number of Trades	1,484,817	22.8%
Total Value Traded	\$37.1 b	5.8%

Clearing House / Depository	Oct 2016	Change YoY
Gross Value of Cleared Trades over Month	\$3.2 b	-27.3%
Collateral Held At Month End	\$36.0 m	-10.7%
Depository transactions	2,250	2.1%
Assets under custody in depository	\$369 m	21.8%
Value of stock lent over month	\$214 m	-11.1%

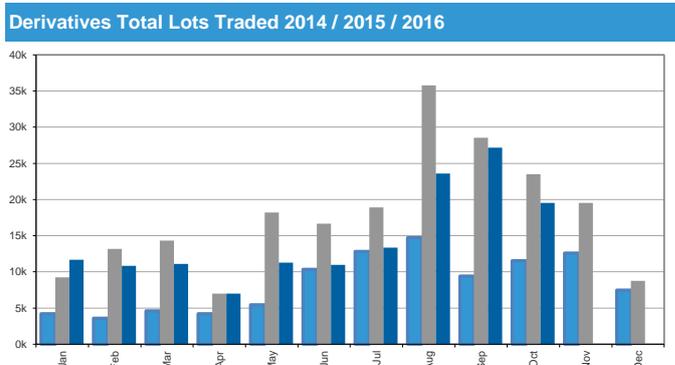
Wholesale Data	Oct 2016	Change YoY
Terminal Numbers - Professional*	6,119	-1.0%
Terminal Numbers - Retail*	1,304	23.8%
Licences - Value > \$20k pa	28	-3.4%
Licences - Value < \$20k pa	63	10.5%

\* 3 month average

Direct Data Products	Oct 2016	Change YoY
Proprietary Security Subscription Products	392	1.8%
- Products ≥ \$3,000 p.a	144	11.6%
- Products < \$3,000 p.a.	248	-3.1%

Derivatives	Oct 2016 Change YoY	
Futures - Total Lots Traded	17,377	-8.3%
Options - Total Lots Traded	2,160	-52.6%
Open Interest	36,903	-36.6%

Energy Contracts	Oct 2016	
Operating / Technology Contracts	15	
- Contracts > = \$500k p.a.	4	
- Contracts < \$500k p.a.	11	



## Funds Services

SuperLife	Oct 2016	Change YoY
Funds Under Management - KiwiSaver	\$580 m	28.6%
Funds Under Management - Other	\$1,051 m	13.1%
Total	\$1,631 m	18.1%

Smartshares	Oct 2016	Change YoY
Funds Under Management - External	\$475 m	7.0%
Funds Under Management - SuperLife funds	\$1,173 m	127.1%
Total	\$1,648 m	71.6%
Units on Issue	751 m	60.7%

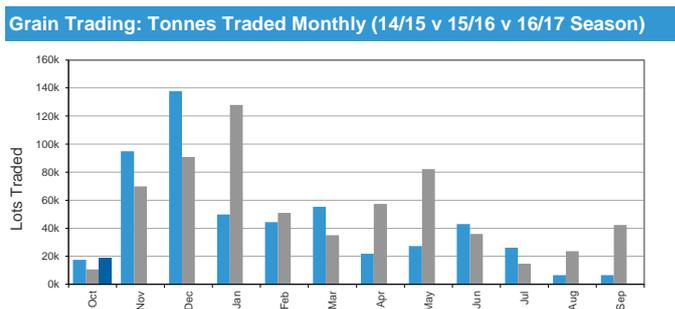
NZX Wealth Technologies	Oct 2016	Change YoY
Funds Under Administration	\$1,290 m	-1.5%

Renamed from Aptyrx

## Agri

Grain Trading	Season to date	Change YoY
Tonnes Traded	18,731	76.4%

Direct Data Products	Oct 2016	Change YoY
Dairy Information Subscriptions	8,754	-9.0%
Grain Information Subscriptions	1,817	-1.4%
General Agri Subscriptions	11,806	-4.7%
Total Paid Advertising Page Equivalents	278	18.3%
Total Paid Advertising Page Equivalents YTD	1,503	-15.8%



## 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.

To enquire about NZX products or services, please contact: NZX Data on +64-4-471 4390  
or email: [info@nzx.com](mailto:info@nzx.com)

To enquire about information listed on this sheet, please email [info@nzx.com](mailto:info@nzx.com)