



## THOMSON REUTERS REGULATORY INTELLIGENCE MYUPDATES SECTOR GUIDELINES

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The following document provides several template MyUpdates sectors for the Thomson Reuters Regulatory Intelligence solution. In order to use this guide, please select a profile of interest listed down the right hand side of the page. Using the information provided you will be able to generate a MyUpdate profile by selecting the Sectors and Themes listed and then selecting the organisations which are relevant to your subscription.

For more information on MyUpdates and how to configure them, please consult the [Thomson Reuters Regulatory Intelligence User Guide](#).

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# ASSET MANAGEMENT (WHOLESALE)

## SECTOR

- Securities and commodities: wholesale / institutional – investment management

## THEMES

- Corporate governance
- Internal controls
- AML, CFT and international sanctions
- Conflicts of interest and anti-bribery
- Recordkeeping
- Collective investment schemes / funds
- Client assets / accounts
- Supervision
- Enforcement

## EUROPE PROFILE

The following organisations – select all documents

- Association for Financial Markets in Europe (AFME)
- Austrian Financial Market Authority
- Austrian Takeover Commission
- Autorité de contrôle prudentiel et de résolution (ACPR)
- Autorité des Marchés Financiers
- BaFin (German Federal Financial Supervisory Authority)

- Belgian Financial Services and Markets Authority
- Central Bank of Ireland
- Comision Nacional del Mercado de Valores (CNMV)
- Comité consultatif du secteur financier (CCSF)
- Commission de Surveillance du Secteur Financier (Luxembourg)
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Council of the European Union
- Cyprus Securities and Exchange Commission
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- European Banking Authority (formerly CEBS)
- European Commission (DG Internal Market)
- European Securities and Markets Authority (formerly CESR)
- Federal Authorities of the Swiss Confederation
- Financial Action Task Force (FATF)
- Financial Conduct Authority
- Financial Reporting Council (UK)
- Financial Stability Board
- Finland Financial Supervisory Authority (FIN-FSA)
- Gibraltar Financial Services Commission

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- Greek Capital Market Commission
- Guernsey Financial Services Commission
- HM Treasury
- Hedge Fund Standards Board
- Hungarian Financial Supervisory Authority
- International Capital Markets Association
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- Malta Financial Services Authority
- Ministry of Economics and Finance (France)
- Netherlands Authority for Financial Markets (AFM)
- Norway Financial Supervisory Authority (Finanstilsynet)
- Portuguese Securities Market Commission (CMVM)
- Prudential Regulation Authority
- State Secretariat for Economic Affairs (SECO)
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Federal Banking Commission
- Swiss Financial Market Supervisory Authority (FINMA)
- Swiss Funds & Asset Management Association
- Swiss Takeover Board
- The Takeover Panel
- UK Serious Fraud Office

## ASIA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Asset Management Association of China (AMAC)
- Association of Mutual Funds in India
- Bank Negara Malaysia
- China Banking Regulatory Commission
- Fixed Income and Money Market And Derivatives Association of India (FIMMDA)
- Hong Kong Monetary Authority (HKMA)
- Hong Kong Securities and Investment Institute
- Indonesian Financial Services Authority (OJK)
- Indonesian Financial Transaction Reports and Analysis Centre (Pusat Pelaporan dan Analisis Transaksi Keuangan)
- Islamic Financial Services Board
- Japan Financial Services Agency
- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Labuan Financial Services Authority
- Ministry of Finance (Singapore)
- Monetary Authority of Singapore (MAS)

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- National Association of Financial Market Institutional Investors (NAFMII)
- Office of the Privacy Commissioner (Hong Kong)
- Personal Data Protection Commission (Singapore)
- Philippines Securities and Exchange Commission
- Securities Commission (Malaysia)
- Securities and Exchange Commission (Thailand)
- Securities and Futures Commission (Hong Kong)
- Taiwan Financial Supervisory Commission
- Taiwan Securities Association

## AUSTALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Financial Planning Association of Australia
- Financial System Inquiry
- Ministry of Economic Development (New Zealand)

## US/ CANADA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission
- Investment Industry Regulatory Organisation of Canada
- Canadian Securities Administrators
- Financial Transaction and Reports Analysis Centre of Canada
- Investment Funds Institute of Canada
- Investment Industry Association of Canada

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Central Bank of Bahrain
- Central Bank of Kuwait
- Capital Market Authority
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Banking Regulation and Supervisory Agency
- Dubai Financial Services Authority

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## ASSET MANAGEMENT (RETAIL)

### SECTOR

- Securities and commodities: retail – investment management

### THEMES

- Internal controls
- AML, CFT and international sanctions
- Conflicts of interest and anti-bribery
- Employees and associated persons
- Recordkeeping
- Collective investment schemes / funds
- Conduct of business
- Communications
- Client assets / accounts
- Dispute resolution and redress
- Supervision
- Enforcement

### EUROPE PROFILE

The following organisations – select all documents

- Association for Financial Markets in Europe (AFME)
- Austrian Financial Market Authority
- Austrian Takeover Commission
- Autorité de contrôle prudentiel et de résolution (ACPR)

- Autorité des Marchés Financiers
- BaFin (German Federal Financial Supervisory Authority)
- Belgian Financial Services and Markets Authority
- Central Bank of Ireland
- Comision Nacional del Mercado de Valores (CNMV)
- Comité consultatif du secteur financier (CCSF)
- Commission de Surveillance du Secteur Financier (Luxembourg)
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Council of the European Union
- Cyprus Securities and Exchange Commission
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- European Banking Authority (formerly CEBS)
- European Commission (DG Internal Market)
- European Securities and Markets Authority (formerly CESR)
- Financial Action Task Force (FATF)
- Financial Conduct Authority
- Financial Ombudsman Service (UK)
- Financial Reporting Council (UK)
- Financial Services Compensation Scheme

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- Financial Services Consumer Panel
- Financial Stability Board
- Finland Financial Supervisory Authority (FIN-FSA)
- Gibraltar Financial Services Commission
- Greek Capital Market Commission
- Guernsey Financial Services Commission
- HM Treasury
- Hedge Fund Standards Board
- Hungarian Financial Supervisory Authority
- International Capital Markets Association
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- Malta Financial Services Authority
- Ministry of Economics and Finance (France)
- Netherlands Authority for Financial Markets (AFM)
- Norway Financial Supervisory Authority (Finanstilsynet)
- Portuguese Securities Market Commission (CMVM)
- Prudential Regulation Authority
- State Secretariat for Economic Affairs (SECO)
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Federal Banking Commission
- Swiss Financial Market Supervisory Authority (FINMA)
- Swiss Funds & Asset Management Association

- Swiss Takeover Board
- The Law Commission
- The Takeover Panel
- UK Serious Fraud Office
- Wealth Management Association (formerly the Association of Private Client Investment Managers and Stockbrokers)

## ASIA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Asset Management Association of China (AMAC)
- Association of Mutual Funds in India
- Bank Negara Malaysia
- China Banking Regulatory Commission
- Fixed Income and Money Market And Derivatives Association of India (FIMMDA)
- Hong Kong Monetary Authority (HKMA)
- Hong Kong Securities and Investment Institute
- Indonesian Financial Services Authority (OJK)
- Indonesian Financial Transaction Reports and Analysis Centre (Pusat Pelaporan dan Analisis Transaksi Keuangan)
- Islamic Financial Services Board
- Japan Financial Services Agency

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- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Labuan Financial Services Authority
- Ministry of Finance (Singapore)
- Monetary Authority of Singapore (MAS)
- National Association of Financial Market Institutional Investors (NAFMII)
- Office of the Privacy Commissioner (Hong Kong)
- Personal Data Protection Commission (Singapore)
- Philippines Securities and Exchange Commission
- Securities Commission (Malaysia)
- Securities and Exchange Commission (Thailand)
- Securities and Futures Commission (Hong Kong)
- Taiwan Financial Supervisory Commission
- Taiwan Securities Association

## AUSTALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Financial Planning Association of Australia

- Financial System Inquiry
- Ministry of Economic Development (New Zealand)

## US/ CANADA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission
- Investment Industry Regulatory Organisation of Canada
- Canadian Securities Administrators
- Financial Transaction and Reports Analysis Centre of Canada
- Investment Funds Institute of Canada
- Investment Industry Association of Canada
- Mutual Fund Dealers Association
- Ombudsman for Banking Services and Investments

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Central Bank of Bahrain
- Central Bank of Kuwait
- Capital Market Authority
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Banking Regulation and Supervisory Agency
- Dubai Financial Services Authority

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# US BROKER DEALER PROFILE

## SECTOR

- Retail – Securities
- Commodities Trading and Wholesale
- Institutional - Securities
- Commodities Trading [depending on your profile it might be one or the other or both]

## GEOGRAPHY

- United States of America

## THEMES

- Internal Oversight >Internal controls > Conflicts of interest and anti-bribery: Employee trading / Gifts and entertainment / Information barriers / Research / Trading with directors, officers and shareholders / Watch and restricted list procedures
- Internal Oversight >Internal controls > Recordkeeping: Transactional records
- Business activities > Trading
- Business Conduct Standards > Conduct of business: Best execution / fair pricing / client / customer categorization / Investment advice / recommendations
- Regulatory Structure and Oversight: Enforcement / Offenses / violations and Penalties and remedies

## CONTENT TYPE

- Regulatory materials: SRO / Exchange Materials, Enforcements, Announcements and News Releases, Public Notices, Policy documents, Guidance and interpretation, Discussion and consultation documents, comments and feedback, Pending regulations, Regulations.
- Editorial summaries and analysis: Reuters and Accelus News, Expert Analysis, Latest Updates

## ORGANIZATIONS

Financial Industry Regulatory Authority, Securities and Exchange Commission, National Futures Association, Commodities Futures Trading Commission, Office of Foreign Assets Control. And various exchanges (depending on those the client trades on).

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# COMMERCIAL BANKING

## SECTOR

- Banking > Wholesale / Institutional
- Securities and Commodities > Corporate finance

## THEMES

- Entity Establishment and Governance > Capital and accounting
- Internal Oversight > Internal controls / Risk / Conflicts of interest and anti-bribery
- Business activities > Banking > Commercial lending
- Regulatory Structure and Oversight > Offences / violations

## EUROPE PROFILE

The following organisations – select all documents

- Austrian Financial Market Authority
- Autorité de contrôle prudentiel et de résolution (ACPR)
- Autorité des Marchés Financiers
- BaFin (German Federal Financial Supervisory Authority)
- Belgian Financial Services and Markets Authority
- Central Bank of Ireland
- Comisión Nacional del Mercado de Valores (CNMV)
- Comité consultative du secteur financier (CCSF)

- Commission de Surveillance du Secteur Financier (Luxembourg)
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Council of the European Union
- Cyprus Securities and Exchange Commission
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- Deutsche Bundesbank
- European Commission (DG Internal Market)
- Financial Conduct Authority
- Financial Stability Board
- Finland Financial Supervisory Authority (FIN-FSA)
- Gibraltar Financial Services Commission
- Greek Capital Market Commission
- Guernsey Financial Services Commission
- Hungarian Financial Supervisory Authority
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- Malta Financial Services Authority
- Netherlands Authority for Financial Markets (AFM)

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- Norway Financial Supervisory Authority (Finanstilsynet)
- Portuguese Securities Market Commission (CMVM)
- Prudential Regulation Authority
- State Secretariat for Economic Affairs (SECO)
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Financial Market Supervisory Authority (FINMA)

## US/ CANADA PROFILE

The following organisations – select all documents

- Office of the Superintendent of Financial Institutions (OSFI)
- Office of the Comptroller of the Currency
- Federal Reserve
- Federal Deposit Insurance Corporation
- Financial Industry Regulatory Authority (FINRA)
- Financial Stability Oversight Council (FSOC)

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Banking Regulation and Supervision Agency (Turkey)
- Capital Market Authority (Oman)
- Capital Markets Board of Turkey
- Central Bank of Bahrain
- Central Bank of Kuwait

- Central Bank of Oman
- Central Bank of the United Arab Emirates
- Dubai Financial Services Authority
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Saudi Arabian Monetary Agency

## ASIA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Bank Negara Malaysia
- China Banking Regulatory Commission
- China Securities Regulatory Commission
- Financial Services and the Treasury Bureau
- Hong Kong Monetary Authority (HKMA)
- Indonesian Financial Services Authority (OJK)
- Japan Financial Services Agency
- Korea Deposit Insurance Corporation (KDIC)
- Korea Financial Intelligence Unit (KFIU)
- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service

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- Labuan Financial Services Authority
- Monetary Authority of Singapore (MAS)
- National Securities Depository Limited
- Perbadanan Insurans Deposit Malaysia (PIDM)
- Philippines Securities and Exchange Commission
- Securities Commission (Malaysia)
- Securities and Futures Commission (Hong Kong)
- State Administration for Industry and Commerce (China)
- State Securities Commission of Vietnam
- Taiwan Financial Supervisory Commission
- Type II Financial Instruments Firms Association

## AUSTRALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Ministry of Economic Development (New Zealand)
- Reserve Bank of Australia
- Reserve Bank of New Zealand

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# INVESTMENT BANKING

## SECTOR

- Banking: Wholesale / Institutional
- Securities and commodities: Corporate Finance

## THEMES

- Capital and accounting
- Internal controls
- Risk
- Conflicts of interest and anti-bribery
- Recordkeeping
- Offerings
- Banking
- Supervision
- Enforcement

## EUROPE PROFILE

The following organisations – select all documents

- Association for Financial Markets in Europe (AFME)
- Austrian Financial Market Authority
- Austrian Takeover Commission
- Autorité de contrôle prudentiel et de résolution (ACPR)
- Autorité des Marchés Financiers
- BaFin (German Federal Financial Supervisory Authority)
- Belgian Financial Services and Markets Authority

- Central Bank of Ireland
- Comision Nacional del Mercado de Valores (CNMV)
- Comité consultative du secteur financier (CCSF)
- Commission de Surveillance du Secteur Financier (Luxembourg)
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Council of the European Union
- Cyprus Securities and Exchange Commission
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- European Banking Authority (formerly CEBS)
- European Commission (DG Internal Market)
- European Securities and Markets Authority (formerly CESR)
- Financial Conduct Authority
- Financial Reporting Council (UK)
- Financial Stability Board
- Finland Financial Supervisory Authority (FIN-FSA)
- Gibraltar Financial Services Commission
- Greek Capital Market Commission
- Guernsey Financial Services Commission
- HM Treasury

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- Hungarian Financial Supervisory Authority
- International Capital Markets Association
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- Malta Financial Services Authority
- Ministry of Economics and Finance (France)
- Netherlands Authority for Financial Markets (AFM)
- Norway Financial Supervisory Authority (Finanstilsynet)
- Portuguese Securities Market Commission (CMVM)
- Prudential Regulation Authority
- State Secretariat for Economic Affairs (SECO)
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Federal Banking Commission
- Swiss Financial Market Supervisory Authority (FINMA)
- Swiss Takeover Board
- The Takeover Panel

## ASIA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Bank Negara Malaysia
- China Banking Regulatory Commission
- Hong Kong Monetary Authority (HKMA)

- Hong Kong Securities and Investment Institute
- Indonesian Financial Services Authority (OJK)
- Islamic Financial Services Board
- Japan Financial Services Agency
- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Labuan Financial Services Authority
- Ministry of Finance (Singapore)
- Monetary Authority of Singapore (MAS)
- National Association of Financial Market Institutional Investors (NAFMII)
- Philippines Securities and Exchange Commission
- Securities Commission (Malaysia)
- Securities and Exchange Commission (Thailand)
- Securities and Futures Commission (Hong Kong)
- Taiwan Financial Supervisory Commission
- Taiwan Securities Association

## AUSTALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities

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Commission New Zealand)

- Financial System Inquiry

- Ministry of Economic Development (New Zealand)

US/ Canada profile

The following organisations – select all documents

- Securities and Exchange Commission

- Federal Reserve

- FINRA

- Canadian Securities Administrators

- Department of Finance, Canada

- Office of the Superintendent of Financial Institutions

- Investment Funds Institute of Canada

- Investment Industry Association of Canada

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Central Bank of Bahrain

- Central Bank of Kuwait

- Capital Market Authority

- Qatar Financial Centre Authority

- Qatar Financial Centre Regulatory Authority

- Banking Regulation and Supervisory Agency

- Dubai Financial Services Authority

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# INVESTMENT FIRM

## SECTOR

- Insurance > Retail
- Insurance > Wholesale/ Institutional

## THEMES

- Entity establishment and governance
- Internal oversight
- Business activities > insurance underwriting
- Business conduct standards
- Regulatory structure and oversight

## EUROPE PROFILE

The following organisations – select all documents

- Association of British Insurers
- British Insurance Brokers' Association
- Chartered Insurance Institute
- Financial Conduct Authority
- Financial Ombudsman Service (UK)
- Financial Reporting Council
- HM Treasury
- Department for Work and Pensions
- HM Revenue and Customs
- Office of Fair Trading (UK)

- Prudential Regulation Authority
- The Pensions Regulator
- European Insurance and Occupational Pensions Authority
- European Commission (DG Internal Market)
- European Systemic Risk Board
- Financial Stability Board
- Autorité de Contrôle des Assurances et des Mutualités
- Dirección General de Seguros y Fondos de Pensiones (DGSFP)
- BaFin
- Belgian Financial Services and Markets Authority
- Central Bank of Ireland
- Commissariat aux Assurances
- International Association of Insurance Supervisors (IAIS)
- Swiss Financial Market Supervisory Authority (FINMA)

## US/ CANADA PROFILE

The following organisations – select all documents

- Alberta Insurance Council
- Canadian Council of Insurance Regulators
- Canadian Life & Health Insurance Association
- Financial and Consumer Affairs Authority (Saskatchewan)
- Financial Consumer Agency of Canada (FCAC)

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- Insurance Council of British Columbia: News release
- Insurance Council of Manitoba: Amendment/ Bulletin / Consultation
- Office of the Superintendent of Financial Institutions (OSFI)
- Consumer Financial Protection Bureau (CFPB)
- Department of Financial Services – New York (DFS)
- Federal Reserve
- Federal Reserve – Bank of Boston
- Federal Reserve – Bank of New York
- Financial Stability Oversight Council (FSOC)

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Dubai Financial Services Authority (DFSA)
- Insurance Authority of the UAE
- Qatar Financial Centre Regulatory Authority (QFCRA)

## ASIA PROFILE

The following organisations – select all documents

- China Insurance Regulatory Committee
- Hong Kong Confederation of Insurers Brokers

- Hong Kong Federation of Insurers
- Hong Kong Monetary Authority (HKMA)
- Office of the Commissioner of Insurance (Hong Kong)
- Professional Insurance Brokers Association (Hong Kong)
- Monetary Authority of Singapore
- Life Insurance Association (Singapore)

## AUSTRALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Ministry of Economic Development (New Zealand)
- Reserve Bank of Australia
- Reserve Bank of New Zealand

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## RETAIL BANKING

### SECTOR

- Banking > Retail – Mortgage lending
- Banking > Retail – Consumer banking

### THEMES

- Entity establishment and governance
- Internal oversight
- Business activities > banking
- Business conduct standards
- Regulatory structure and oversight

### EUROPE PROFILE

The following organisations – select all documents

- British Bankers Association
- Basel Committee for Banking Supervision (BCBS)
- BaFin (German Federal Financial Supervisory Authority)
- Belgian Financial Services and Markets Authority
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- European Commission (DG Internal Market)
- European Banking Authority (formerly CEBS)
- Financial Conduct Authority
- Financial Ombudsmen Service
- Financial Service Compensation Scheme

- Financial Stability Board
- Financial Reporting Council
- HM Treasury
- Independent Commission on Banking
- Information Commissioners Office
- Norway Financial Supervisory Authority (Finanstilsynet)
- Prudential Regulation Authority
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Financial Market Supervisory Authority (FINMA)

### US/ CANADA PROFILE

The following organisations – select all documents

- Bank Acts (Canada)
- Canada Deposit Insurance Corporation
- Canadian Bankers Association
- Canadian Payments Association
- Financial and Consumer Affairs Authority (Saskatchewan)
- Financial Consumer Agency of Canada (FCAC)
- Office of the Superintendent of Financial Institutions (OSFI)
- Ombudsman for Banking Services and Investments (OBSI)
- Commodity Futures Trading Commission (CFTC)

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- Consumer Financial Protection Bureau (CFPB)
- Department of Financial Services – New York (DFS)
- Federal Reserve
- Federal Reserve – Bank of Boston
- Federal Reserve – Bank of New York
- Financial Crimes Enforcement Network (FinCEN)
- Federal Deposit Insurance Corporation (FDIC)
- Financial Industry Regulatory Authority (FINRA)
- Financial Stability Oversight Council (FSOC)
- National Future Associations (NFA)
- Office of Foreign Assets Control (OFAC)
- Office of the Comptroller of the Currency (OCC)
- Office of Thrift Supervision (OTS)
- Options Clearing Corporation (OCC)
- Securities & Exchange Commission (SEC)

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Banking Regulation and Supervision Agency (Turkey)
- Central Bank of Bahrain
- Dubai Financial Services Authority
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Saudi Arabian Monetary Agency

## ASIA PROFILE

The following organisations – select all documents

- China Banking Regulatory Commission
- Hong Kong Monetary Authority (HKMA)
- Indonesian Financial Services Authority (OJK)
- Japan Financial Services Agency
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Monetary Authority of Singapore (MAS)
- Securities and Exchange Board of India

Australasia profile

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Ministry of Economic Development (New Zealand)
- Reserve Bank of Australia
- Reserve Bank of New Zealand

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# SECURITIES I

## SECTOR

- Securities and commodities > Retail – Securities / Commodities Trading
- Securities and commodities > Wholesale / Institutional – Securities / Commodities Trading

## TOPICS

- Internal Oversight > Internal controls / Conflicts of interest and anti-bribery / Employees and associated persons
- Business activities > Trading
- Business Conduct Standards > Conduct of business

## EUROPE PROFILE

The following organisations – select all documents

- Association for Financial Markets in Europe (AFME)
- Austrian Financial Market Authority
- Autorité de contrôle prudentiel et de résolution (ACPR)
- Autorité des Marchés Financiers
- BaFin (German Federal Financial Supervisory Authority)
- Belgian Financial Services and Markets Authority
- Berlin Stock Exchange
- Bolsa de Madrid
- Borsa Italiana
- Central Bank of Ireland

- Chi-x
- Comision Nacional del Mercado de Valores (CNMV)
- Comité consultatif du secteur financier (CCSF)
- Commission de Surveillance du Secteur Financier (Luxembourg)
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Council of the European Union
- Cyprus Securities and Exchange Commission
- Danish Financial Supervisory Authority (Finanstilsynet)
- De Nederlandsche Bank (DNB)
- Deutsche Boerse
- Deutsche Bundesbank
- Dusseldorf Stock Exchange
- EDX
- Eurex
- European Commission (DG Internal Market)
- European Energy Exchange
- European Securities and Markets Authority (formerly CESR)
- Federation of European Securities Exchanges
- Financial Conduct Authority
- Financial Stability Board

ASSET MANAGEMENT (Wholesale)

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US BROKER DEALER PROFILE

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SECURITIES I

SECURITIES (Derivatives)

- Finland Financial Supervisory Authority (FIN-FSA)
- Gibraltar Financial Services Commission
- Greek Capital Market Commission
- Guernsey Financial Services Commission
- Hedge Fund Standards Board
- Hungarian Financial Supervisory Authority
- ICAP Securities & Derivatives Exchange (formerly Plus Markets)
- ICE Benchmark Administration Limited
- ICE Clear Europe
- ICE Endex
- ICE Futures
- International Capital Markets Association
- International Organisation of Securities Commissions (IOSCO)
- Irish Stock Exchange
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- LCH.Clearnet
- London Metal Exchange
- London Stock Exchange
- Luxembourg Stock Exchange
- Malta Financial Services Authority
- Mercado Espanol de Futuros Financieros
- NASDAQ OMX Commodities (formerly Nordpool)

- NASDAQ OMX Nordic
- NYSE Euronext
- NYSE Euronext Lisbon
- Netherlands Authority for Financial Markets (AFM)
- Norway Financial Supervisory Authority (Finanstilsynet)
- OMIP
- Oslo Bors
- Polish Power Exchange
- Portuguese Securities Market Commission (CMVM)
- Power Exchange Central Europe
- Powernext
- Prudential Regulation Authority
- SIX Swiss Exchange
- SWX Europe
- Service d'Information et de Controle sur les Circuits Financiers
- State Secretariat for Economic Affairs (SECO)
- Stuttgart Stock Exchange
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Financial Market Supervisory Authority (FINMA)
- Swiss Funds & Asset Management Association
- Turquoise
- Wiener Borse
- Xetra

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## US/ CANADA PROFILE

The following organisations – select all documents

- Alberta Securities Commission
- Alpha Exchange
- Alpha Group: Notice
- Autorité des marchés financiers (AMF) (Quebec securities regulator)
- Montreal Exchange
- British Columbia Securities Commission
- Canadian Depository for Securities
- Canadian Derivatives Clearing Corp (CDCC)
- Canadian National Stock Exchange (CNSX)
- Canadian Securities Administrators (CSA)
- Canadian Securities Transition Office
- CanDeal
- Chambre de la sécurité financière
- Equilend Canada Corp.
- ICE Futures Canada
- Instinet Canada Cross (ICX)
- Investment Funds Institute of Canada
- Investment Industry Association of Canada
- Investment Industry Regulatory Organization of Canada (IIROC)
- Liquidnet Canada

- Manitoba Securities Commission
- MarketAxess
- MATCH Now (TriAct)
- Natural Gas Exchange (NGX)
- New Brunswick Securities Commission
- Nova Scotia Securities Commission
- Office of the Superintendent of Financial Institutions (OSFI)
- Omega ATS
- Ontario Securities Commission
- Pure Trading
- Superintendent of Securities, New Foundland and Labrador
- Superintendent of Securities, Northwest Territories
- Superintendent of Securities, Nunavut
- Superintendent of Securities, Prince Edward Island
- Superintendent of Securities, Yukon
- TMX Select
- Toronto Stock Exchange (TSX)
- TSX Venture Exchange
- American Stock Exchange (AMEX)
- BATS BYX
- BATS BZX
- BGC Derivatives Market

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SECURITIES I

SECURITIES (Derivatives)



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- Bloomberg SEF
- Board of Trade of the City of Chicago, Inc (CBOT)
- Boston Stock Exchange (BSE)
- Boston Stock Exchange Clearing Corporation (BSECC)
- BOX Options Exchange (BOX)
- C2 Options Exchange
- CBOE Futures Exchange, LLC (CFE)
- Chicago Board Options Exchange (CBOE)
- Chicago Mercantile Exchange (CME)
- Chicago Stock Exchange (CHX)
- CME Group
- CME SEF
- COMEX (Commodity Exchange, Inc.)
- Commodity Futures Trading Commission (CFTC)
- EDGA Exchange
- EDGX Exchange
- ELX Futures
- Federal Energy Regulatory Commission (FERC)
- Federal Trade Commission
- Financial Crimes Enforcement Network (FinCEN)
- Financial Industry Regulatory Authority (FINRA)
- Financial Stability Oversight Council (FSOC)
- Fixed Income Clearing Corporation (FICC)
- Exall Thomson Reuters SEF

- GFI Swaps Exchange
- ICAP SEF
- ICE US
- International Securities Exchange (ISE)
- ISE Gemini
- Javelin SEF
- Kansas City Board of Trade (KCBT)
- LatAm SEF
- MarketAxess SEF
- MIAX Options Exchange
- Minneapolis Grain Exchange (MGEX)
- Municipal Securities Rulemaking Board (MSRB)
- NASD
- NASDAQ OMX BX
- NASDAQ OMX PHLX
- NASDAQ Stock Market LLC (NASDAQ)
- National Future Associations (NFA)
- National Securities Clearing Corporation (NSCC)
- National Stock Exchange (NSX )
- New York Mercantile Exchange (NYMEX)
- New York Stock Exchange (NYSE)
- North American Securities Administrators Association (NASAA)
- NYSE Arca, Inc (NYSE Arca)

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## COMMERCIAL BANKING

## INVESTMENT BANKING

## INVESTMENT FIRM

## RETAIL BANKING

## SECURITIES (Derivatives)

- NYSE Arca Eur
- NYSE MKT
- OneChicago LLC (OC):
- Options Clearing Corporation (OCC)
- Securities & Exchange Commission (SEC)
- Stock Clearing Corporation of Philadelphia (SCCP)
- SwapEx
- TeraExchange SEF
- Tradeweb SEF
- Tradition SEF
- Tullett Prebon SEF
- trueEX SEF

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Abu Dhabi Securities Exchange
- Banking Regulation and Supervision Agency (Turkey)
- Capital Market Authority (Oman)
- Capital Markets Board of Turkey
- Central Bank of Bahrain
- Central Bank of Kuwait
- Central Bank of Oman
- Central Bank of the United Arab Emirates
- Dubai Financial Market
- Dubai Financial Services Authority

- Dubai Gold & Commodities Exchange
- Dubai Mercantile Exchange (DME)
- Emirates Securities And Commodities Authority
- NASDAQ Dubai
- Qatar Exchange
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Saudi Arabian Monetary Agency
- TurkDEX

## ASIA PROFILE

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Bank Negara Malaysia
- Bapepam-LK
- Bombay Stock Exchange
- Bursa Malaysia
- China Banking Regulatory Commission
- China Beijing Equity Exchange
- China Financial Futures Exchange
- China Futures Association (CFA)
- China Insurance Regulatory Commission
- China Securities Regulatory Commission
- Clearing Corporation of India (CCIL)

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SECURITIES (Derivatives)

- Dalian Commodity Exchange
- Financial Services and the Treasury Bureau
- Fixed Income and Money Market And Derivatives Association of India (FIMMDA)
- GreTai Securities Market
- Hochiminh Stock Exchange
- Hong Kong Exchange & Clearing Ltd
- Hong Kong Monetary Authority (HKMA)
- Hong Kong Securities and Investment Institute
- Indonesian Financial Services Authority (OJK)
- Japan Commodities Fund Association
- Japan Financial Services Agency
- Japan Securities Dealers Association
- Japan Securities and Exchange Surveillance Commission
- Korea Deposit Insurance Corporation (KDIC)
- Korea Financial Intelligence Unit (KFIU)
- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Korea Securities Dealers Association
- Korea Stock Exchange
- Labuan Financial Services Authority
- Monetary Authority of Singapore (MAS)
- National Association of Financial Market Institutional Investors (NAFMII)

- National Securities Depository Limited
- National Stock Exchange of India
- OTC Exchange of India
- Osaka Securities Exchange
- Perbadanan Insurans Deposit Malaysia (PIDM)
- Philippines Securities and Exchange Commission
- Professional Insurance Brokers Association (Hong Kong)
- Securities Association of China
- Securities Commission (Malaysia)
- Securities and Exchange Board of India
- Securities and Exchange Commission (Thailand)
- Securities and Futures Commission (Hong Kong)
- Shanghai Futures Exchange
- Shanghai Gold Exchange
- Shanghai Stock Exchange
- Shenzhen Stock Exchange
- Singapore Exchange
- State Administration for Industry and Commerce (China)
- State Securities Commission of Vietnam
- Taiwan Clearing House
- Taiwan Depository & Clearing Corporation
- Taiwan Financial Supervisory Commission
- Taiwan Futures Exchange
- Taiwan Securities Association

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- Taiwan Stock Exchange
- The Financial Futures Association of Japan
- Tokyo Commodity Exchange, Inc
- Tokyo Financial Exchange
- Tokyo Stock Exchange
- Type II Financial Instruments Firms Association
- Zhengzhou Commodity Exchange

## AUSTRALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities Exchange
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Ministry of Economic Development (New Zealand)
- New Zealand Exchange
- Reserve Bank of Australia
- Reserve Bank of New Zealand

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# SECURITES (DERIVATIVES)

## SECTOR

- Securities and commodities > Retail – Securities / Commodities Trading
- Securities and commodities > Wholesale / Institutional – Securities / Commodities Trading

## TOPICS

- Internal Oversight > Internal controls / Conflicts of interest and anti-bribery / Employees and associated persons
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- Eurex
- European Commission (DG Internal Market)
- European Energy Exchange
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- Federation of European Securities Exchanges
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- Financial Stability Board
- Finland Financial Supervisory Authority (FIN-FSA)

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- Greek Capital Market Commission
- Guernsey Financial Services Commission
- Hedge Fund Standards Board
- Hungarian Financial Supervisory Authority
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- ICE Benchmark Administration Limited
- ICE Clear Europe
- ICE Endex
- ICE Futures
- International Capital Markets Association
- International Organisation of Securities Commissions (IOSCO)
- Irish Stock Exchange
- Isle of Man Financial Supervision Commission
- Jersey Financial Services Commission
- LCH.Clearnet
- London Metal Exchange
- London Stock Exchange
- Luxembourg Stock Exchange
- Malta Financial Services Authority
- Mercado Espanol de Futuros Financieros
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- NASDAQ OMX Nordic

- NYSE Euronext
- NYSE Euronext Lisbon
- Netherlands Authority for Financial Markets (AFM)
- Norway Financial Supervisory Authority (Finanstilsynet)
- OMIP
- Oslo Bors
- Polish Power Exchange
- Portuguese Securities Market Commission (CMVM)
- Power Exchange Central Europe
- Powernext
- Prudential Regulation Authority
- SIX Swiss Exchange
- SWX Europe
- Service d'Information et de Controle sur les Circuits Financiers
- State Secretariat for Economic Affairs (SECO)
- Stuttgart Stock Exchange
- Swedish Financial Supervisory Authority (Finansinspektionen)
- Swiss Financial Market Supervisory Authority (FINMA)
- Swiss Funds & Asset Management Association
- Turquoise
- Wiener Borse
- Xetra

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- Canadian Derivatives Clearing Corp (CDCC)
- Canadian National Stock Exchange (CNSX)
- Canadian Securities Administrators (CSA)
- Canadian Securities Transition Office
- CanDeal
- Chambre de la sécurité financière
- Equilend Canada Corp.
- ICE Futures Canada
- Instinet Canada Cross (ICX)
- Investment Funds Institute of Canada
- Investment Industry Association of Canada
- Investment Industry Regulatory Organization of Canada (IIROC)
- Liquidnet Canada
- Manitoba Securities Commission

- MarketAxess
- MATCH Now (TriAct)
- Natural Gas Exchange (NGX)
- New Brunswick Securities Commission
- Nova Scotia Securities Commission
- Office of the Superintendent of Financial Institutions (OSFI)
- Omega ATS
- Ontario Securities Commission
- Pure Trading
- Superintendent of Securities, New Foundland and Labrador
- Superintendent of Securities, Northwest Territories
- Superintendent of Securities, Nunavut
- Superintendent of Securities, Prince Edward Island
- Superintendent of Securities, Yukon
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- Toronto Stock Exchange (TSX)
- TSX Venture Exchange
- American Stock Exchange (AMEX)
- BATS BYX
- BATS BZX
- BGC Derivatives Market
- Bloomberg SEF
- Board of Trade of the City of Chicago, Inc (CBOT)

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SECURITIES I

SECURITIES (Derivatives)

- Boston Stock Exchange (BSE)
- Boston Stock Exchange Clearing Corporation (BSECC)
- BOX Options Exchange (BOX)
- C2 Options Exchange
- CBOE Futures Exchange, LLC (CFE)
- Chicago Board Options Exchange (CBOE)
- Chicago Mercantile Exchange (CME)
- Chicago Stock Exchange (CHX)
- CME Group
- CME SEF
- COMEX (Commodity Exchange, Inc.)
- Commodity Futures Trading Commission (CFTC)
- EDGA Exchange
- EDGX Exchange
- ELX Futures
- Federal Energy Regulatory Commission (FERC)
- Federal Trade Commission
- Financial Crimes Enforcement Network (FinCEN)
- Financial Industry Regulatory Authority (FINRA)
- Financial Stability Oversight Council (FSOC)
- Fixed Income Clearing Corporation (FICC)
- Fxall Thomson Reuters SEF
- GFI Swaps Exchange
- ICAP SEF

- ICE US
- International Securities Exchange (ISE)
- ISE Gemini
- Javelin SEF
- Kansas City Board of Trade (KCBT)
- LatAm SEF
- MarketAxess SEF
- MIAX Options Exchange
- Minneapolis Grain Exchange (MGEX)
- Municipal Securities Rulemaking Board (MSRB)
- NASD
- NASDAQ OMX BX
- NASDAQ OMX PHLX
- NASDAQ Stock Market LLC (NASDAQ)
- National Future Associations (NFA)
- National Securities Clearing Corporation (NSCC)
- National Stock Exchange (NSX )
- New York Mercantile Exchange (NYMEX)
- New York Stock Exchange (NYSE)
- North American Securities Administrators Association (NASAA)
- NYSE Arca, Inc (NYSE Arca)
- NYSE Arca Eur
- NYSE MKT

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SECURITIES I

SECURITIES (Derivatives)

- OneChicago LLC (OC):
- Options Clearing Corporation (OCC)
- Securities & Exchange Commission (SEC)
- Stock Clearing Corporation of Philadelphia (SCCP)
- SwapEx
- TeraExchange SEF
- Tradeweb SEF
- Tradition SEF
- Tullett Prebon SEF
- trueEX SEF

## MIDDLE EAST PROFILE

The following organisations – select all documents

- Abu Dhabi Securities Exchange
- Banking Regulation and Supervision Agency (Turkey)
- Capital Market Authority (Oman)
- Capital Markets Board of Turkey
- Central Bank of Bahrain
- Central Bank of Kuwait
- Central Bank of Oman
- Central Bank of the United Arab Emirates
- Dubai Financial Market
- Dubai Financial Services Authority
- Dubai Gold & Commodities Exchange

- Dubai Mercantile Exchange (DME)
- Emirates Securities And Commodities Authority
- NASDAQ Dubai
- Qatar Exchange
- Qatar Financial Centre Authority
- Qatar Financial Centre Regulatory Authority
- Saudi Arabian Monetary Agency
- TurkDEX

Asia profile

The following organisations – select all documents

- Securities and Exchange Commission (Philippines)
- Asia Securities Industry & Financial Markets Association
- Bank Negara Malaysia
- Bapepam-LK
- Bombay Stock Exchange
- Bursa Malaysia
- China Banking Regulatory Commission
- China Beijing Equity Exchange
- China Financial Futures Exchange
- China Futures Association (CFA)
- China Insurance Regulatory Commission
- China Securities Regulatory Commission
- Clearing Corporation of India (CCIL)
- Dalian Commodity Exchange

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SECURITIES I

SECURITIES (Derivatives)

- Financial Services and the Treasury Bureau
- Fixed Income and Money Market And Derivatives Association of India (FIMMDA)
- GreTai Securities Market
- Hochiminh Stock Exchange
- Hong Kong Exchange & Clearing Ltd
- Hong Kong Monetary Authority (HKMA)
- Hong Kong Securities and Investment Institute
- Indonesian Financial Services Authority (OJK)
- Japan Commodities Fund Association
- Japan Financial Services Agency
- Japan Securities Dealers Association
- Japan Securities and Exchange Surveillance Commission
- Korea Deposit Insurance Corporation (KDIC)
- Korea Financial Intelligence Unit (KFIU)
- Korea Financial Investment Association
- Korea Financial Services Commission
- Korea Financial Supervisory Service
- Korea Securities Dealers Association
- Korea Stock Exchange
- Labuan Financial Services Authority
- Monetary Authority of Singapore (MAS)
- National Association of Financial Market Institutional Investors (NAFMII)

- National Securities Depository Limited
- National Stock Exchange of India
- OTC Exchange of India
- Osaka Securities Exchange
- Perbadanan Insurans Deposit Malaysia (PIDM)
- Philippines Securities and Exchange Commission
- Professional Insurance Brokers Association (Hong Kong)
- Securities Association of China
- Securities Commission (Malaysia)
- Securities and Exchange Board of India
- Securities and Exchange Commission (Thailand)
- Securities and Futures Commission (Hong Kong)
- Shanghai Futures Exchange
- Shanghai Gold Exchange
- Shanghai Stock Exchange
- Shenzhen Stock Exchange
- Singapore Exchange
- State Administration for Industry and Commerce (China)
- State Securities Commission of Vietnam
- Taiwan Clearing House
- Taiwan Depository & Clearing Corporation
- Taiwan Financial Supervisory Commission
- Taiwan Futures Exchange
- Taiwan Securities Association

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- Taiwan Stock Exchange
- The Financial Futures Association of Japan
- Tokyo Commodity Exchange, Inc
- Tokyo Financial Exchange
- Tokyo Stock Exchange
- Type II Financial Instruments Firms Association
- Zhengzhou Commodity Exchange

## AUSTRALASIA PROFILE

The following organisations – select all documents

- Australian Government - The Treasury
- Australian Prudential Regulation Authority
- Australian Securities Exchange
- Australian Securities and Investments Commission
- Financial Markets Authority (formerly Securities Commission New Zealand)
- Ministry of Economic Development (New Zealand)
- New Zealand Exchange
- Reserve Bank of Australia
- Reserve Bank of New Zealand

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