



# Regulatory Intelligence Obligations Library

Compliance at a new level

## Introducing a new browsable library of actionable content

The Obligations Library is a comprehensive solution for tracking compliance requirements across banking, financial services, and insurance sectors. A dedicated team of legally trained editors provides a plain-language, outlined summary of the laws and regulations relevant to your business delivered in subsection-level Obligation documents.

The Obligations Library with **Thomson Reuters® Regulatory Intelligence** reinvents the way users track legal content. Each Obligation document is taxonomized down to the subsection level with our new Compliance Requirements filter, allowing customers to pinpoint and track obligations by cross-industry and industry-specific requirements.

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## Key benefits

- Detailed breakdowns of complex requirements** – Full, plain-language outlines of each Obligation retain the detail you need without the legalese.
- Global content** – Banking, financial services, and insurance obligations in:
  - Australia
  - Barbados
  - Canada (federal & provincial)
  - Cayman Islands
  - Hong Kong
  - New Zealand
  - Singapore
  - U.K.
  - U.S. (federal & state)
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- Add Obligations Library to your Regulatory Intelligence subscription** – The Obligations Library is an exclusive add-on to Regulatory Intelligence putting compliance requirements at your fingertips. Linking to full-text source content is available in Barbados, Canada, Cayman Islands and the U.S.

## See the Obligations Library difference

| Source   | Obligation  |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
|--|---|---------|--------|---|--------------|-------------|---------------|---|--------|---|---|-----------|---------|--------|----------------------------|--------------|-------------|---------------|---|-------------------------|------------------------------|
| <p><b>§ 42.2 Compliance with Bank Secrecy Act.</b> <a href="#">c</a></p> <p><small>CURRENT Effective from 14-Jan-2014 onwards</small> <a href="#">Compare with older version</a></p> <p>17 C.F.R. § 42.2</p> <p>Commodity Futures Trading Commission (CFTC)   Regulations</p> <p>Powered by KeyCite.</p> <p>Every futures commission merchant and introducing broker shall comply with the applicable provisions of the Bank Secrecy Act and the regulations promulgated by the Department of the Treasury under that Act at 31 CFR chapter X, and with the requirements of <a href="#">31 U.S.C. 5318(l)</a> and the implementing regulation jointly promulgated by the Commission and the Department of the Treasury at <a href="#">31 CFR 103.123 1026.220</a>, which require that a customer identification program be adopted as part of the firm's Bank Secrecy Act compliance program.</p> <p><b>Credits</b><br/> <a href="#">[79 FR 2371]</a>, Jan. 14, 2014]</p> <p><b>SOURCE:</b> <a href="#">68 FR 25159</a>, May 9, 2003, unless otherwise noted.</p> <p><b>AUTHORITY:</b> <a href="#">7 U.S.C. 1a, 2, 5, 6, 6b, 6d, 6f, 6g, 7, 7a, 7a-1, 7a-2, 7b, 7b-1, 7b-2, 9, 12, 12a, 12c, 13a, 13a-1, 13c, 16 and 21; 12 U.S.C. 1786(q), 1818, 1829b and 1951-1959; 31 U.S.C. 5311-5314 and 5316-5332; title III, secs. 312-314, 319, 321, 326, 352, Pub.L. 107-56, 115 Stat. 307.</a></p> <p>Current through Feb. 3, 2023, <a href="#">88 FR 7369</a>.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;">Geography</td> <td style="width: 95%;">Federal</td> </tr> <tr> <td>Sector</td> <td>Retail - Investment Management, Retail - Securities / Commodities Trading, Wholesale / Institutional - Investment Management, Wholesale / Institutional - Securities / Commodities Trading, Supplementary</td> </tr> <tr> <td>Content Type</td> <td>Regulations</td> </tr> <tr> <td>Organizations</td> <td>Commodity Futures Trading Commission (CFTC)</td> </tr> <tr> <td>Themes</td> <td>Third market and OTC trading, Entity authorization and continuing obligations, Entity-related filings and disclosures, AML / CFT compliance program, Customer due diligence / customer identification, Policies and procedures, Money laundering, Terrorist financing, Applicability / interpretation</td> </tr> </table> <p>© 2023 Thomson Reuters. No claim to original U.S. Government Works.</p> | Geography   | Federal | Sector | Retail - Investment Management, Retail - Securities / Commodities Trading, Wholesale / Institutional - Investment Management, Wholesale / Institutional - Securities / Commodities Trading, Supplementary | Content Type | Regulations | Organizations | Commodity Futures Trading Commission (CFTC) | Themes | Third market and OTC trading, Entity authorization and continuing obligations, Entity-related filings and disclosures, AML / CFT compliance program, Customer due diligence / customer identification, Policies and procedures, Money laundering, Terrorist financing, Applicability / interpretation | <p><b>17 CFR s 42.2 Compliance with Bank Secrecy Act.</b></p> <p>REG. OBG, US 17 CFR s 42.2<br/>Document Date: 06-Oct-2021</p> <p>Thomson Reuters Risk, Commodity Futures Trading Commission (CFTC)   Obligations</p> <p><a href="#">17 CFR s 42.2</a></p> <p><a href="#">17 CFR s 42.2</a></p> <ol style="list-style-type: none"> <li>1. Every futures commission merchant and introducing broker must comply with:           <ol style="list-style-type: none"> <li>a. the applicable provisions of the Bank Secrecy Act, <a href="#">12 USCA s 1951 et seq.</a>;</li> <li>b. the regulations promulgated by the Department of the Treasury at 31 CFR Ch. X; and</li> <li>c. both of the following which require that a customer identification program be adopted as part of the firm's Bank Secrecy Act compliance program:               <ol style="list-style-type: none"> <li>I. the requirements of <a href="#">31 USCA s 5318(l)</a>; and</li> <li>II. the implementing regulation jointly promulgated by the Commodity Futures Trading Commission and the Department of the Treasury at <a href="#">31 CFR s 1026.220</a>.</li> </ol> </li> </ol> </li> </ol> <p>Obligations Library (c) by Thomson Reuters. 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No claim to original U.S. Government Works.</p> | Geography | Federal | Sector | Securities and Commodities | Content Type | Obligations | Organizations | Thomson Reuters Risk, Commodity Futures Trading Commission (CFTC) | Compliance Requirements | AML / CFT compliance program |
| Geography  | Federal   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Sector   | Retail - Investment Management, Retail - Securities / Commodities Trading, Wholesale / Institutional - Investment Management, Wholesale / Institutional - Securities / Commodities Trading, Supplementary   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Content Type   | Regulations   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Organizations  | Commodity Futures Trading Commission (CFTC)   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Themes   | Third market and OTC trading, Entity authorization and continuing obligations, Entity-related filings and disclosures, AML / CFT compliance program, Customer due diligence / customer identification, Policies and procedures, Money laundering, Terrorist financing, Applicability / interpretation |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Geography  | Federal   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Sector   | Securities and Commodities  |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Content Type   | Obligations   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
| Organizations  | Thomson Reuters Risk, Commodity Futures Trading Commission (CFTC)   |         |        |   |              |             |               |   |        |   |   |           |         |        |                            |              |             |               |   |                         |                              |
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**17 CFR s 5.2(b). s 5.2. Prohibited transactions.**

REG. OBG. US 17 CFR s 5.2(b)  
Document Date: 06-Oct-2021

Thomson Reuters Risk; Commodity Futures Trading Commission (CFTC) | Obligations

**17 CFR s 5.2**

**17 CFR s 5.2(b)**

Fraudulent conduct prohibited.

1. It is unlawful for any person, by use of the mails or by any means or instrumentality of interstate commerce, directly or indirectly, in or in connection with any retail forex transaction:

- to cheat or defraud or attempt to cheat or defraud any person; and
- willfully:

  - make or cause to be made to any person any false report or statement;
  - cause to be entered for any person any false record; or
  - deceive or attempt to deceive any person by any means whatsoever.

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|                         |   |
|-------------------------|---|
| Geography               | Federal   |
| Sector                  | Securities and Commodities  |
| Content Type            | Obligations   |
| Organizations           | Thomson Reuters Risk, Commodity Futures Trading Commission (CFTC) |
| Compliance Requirements | Retail forex  |

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**Every subsection that creates an actionable requirement forms a unique Obligation document**

**Browsable library**

**New Compliance Requirements taxonomy**

**Fully outlined Obligation**

**Full taxonomy at the subsection level**

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