

# Regulatory Intelligence

## Regulatory Calendar

“At a glance” regulatory deadlines

Introducing a new three-month calendar to help you track important dates



Thomson Reuters® Regulatory Intelligence Regulatory Calendar provides you with an “at a glance” list of upcoming regulatory deadlines that are specific to region, sector, and certain key subject areas. This three-month Regulatory Calendar contains many key regulatory developments, initiatives, and actions that can influence strategy, operations, or culture.

The earlier you’re briefed, the better prepared for compliance with regulations you can be. To have a comprehensive, accurate, forward-looking calendar allows you to meet this objective and enables you to contribute to regulatory debates at an earlier stage.

## Key benefits

- **Format of calendars** – Calendars are structured so that the most current deadlines appear at the top of each list and then other regulatory alerts are listed beneath in the order which they are due. The calendar gives brief details of each alert namely date, title, brief description, regulator, and then link to the source document.
- **Deadlines** – The calendar aims to capture future dates for regulatory communications that require feedback like consultations, calls for input etc.
- **Timeframes** – The calendar is a list of regulatory deadlines with due dates within the next three months, updated on a rolling basis. Calendars will be updated monthly by the end of each month.
- **Geographical split** – Calendars are split into regions.

There are currently calendars covering (i) USA (ii) Europe (iii) Asia (iv) Australia and (v) Canada.

**Calendar – USA** – There are two U.S. calendars – one for banking and one for securities and commodities.

- Banking – This calendar tracks future regulatory deadlines from the most prominent federal banking regulators namely the FED, OCC, FDIC, CFPB, and Dept of the Treasury (including FINCEN). The calendar *does not* cover state regulators.
- Securities and commodities – This calendar tracks regulatory deadlines from the most prominent securities and commodities regulators namely the SEC, FINRA, CFTC, and NFA. The calendar *does not* cover state regulators.

**Calendar – UK** – The calendar covers the main UK regulators including PRA, FCA, PSR, CMA, HM Treasury, ICO, and Bank of England. Additionally, it covers the Law Commission and FOS.

**Calendar – Europe** – The calendar covers activity from the main EU regulators namely the European Commission, EBA, ESMA, and EIOPA.

**Calendar – Australia and New Zealand** – The calendar covers the main regulators including APRA, ASIC, RBA, FMA, and RBNZ.

**Calendar – Asia** – The calendar covers the main regulators in the following countries:

- Hong Kong – HKMA and SFC Singapore – MAS
- Malaysia – BNM
- Japan – Japan FSA
- South Korea - FSC and FSS
- China – CBIRC and CSRC
- India – Reserve Bank of India and Securities and Exchange Board
- Pakistan – Securities and Exchange Commission

**Calendar – Canada** – Currently there is one calendar covering Banking. It includes activity from the OSFI. An additional calendar for Canada Securities is currently being developed and will be available in due course. The calendar *does not cover* regional regulators.

- **Themes** – For the Europe/UK calendar, we have selected topical themes and extracted future regulatory deadlines in each theme. The themes currently being populated are:
  - Capital requirements
  - Cryptoassets
  - Financial crime
  - ESG
  - Operational resilience

## FEATURED NEWS



## IMPACT ANALYSIS: Canadian government ponders creation of 'foreign influence...

03-Apr-2023, Helen Chan, Regulatory Intelligence

Canada's federal government is creating a new regulatory framework to combat the risk of foreign interference and influence on domestic interests. The main objective is to promote transparency and accountability from individuals who advocate on behalf of foreign governments and are meant to close supervisory loopholes in Canadian lobbying law. The proposals come at a time of heightened geopolitical tension between Canada and several foreign states that could have longer-term...

FATF's looming fifth round evaluations place pressure on Australia

03-Apr-2023, Nathan Lynch, Regulatory Intelligence

Australia's government is under pressure to push ahead with 'Tranche 2' anti-money laundering reforms ahead of the ...

SEC charges Spicer Jeffries, engagement partner over private fund audits

03-Apr-2023, Bill Flook, Checkpoint

The SEC on March 29, 2023, charged Spicer Jeffries LLP and engagement partner Sean Tafaro with a series of violations...

## MOST READ CONTENT

### 1 Bank runs in the 'Twitter' age – SVB's collapse poses new challenges for firms, regulators

Henry Engler, Regulatory Intelligence | Regulatory Intelligence Analysis | 27-Mar-2023



U.S. regulator seeks sale of Silicon Valley Bank, Signature Bank portfolios-sources

03-Apr-2023, Pete Schroeder, Reuters and David French, Reu...

The Federal Deposit Insurance Corporation (FDIC) has retained advisers to sell the securities portfolios that the n...



Swiss prosecutor probes Credit Suisse takeover

03-Apr-2023, Thomson Reuters reporting team

Switzerland's Federal Prosecutor has opened an investigation into the state-backed takeover of Credit Suisse by UBS...

## NEWS

### Retail market misconduct on the rise with digital finance, finds IOSCO

Trond Vagen, Regulatory Intelligence | Regulatory Intelligence News | 03-Apr-2023

## MY UPDATES

Name	Unread - last 7 days
Wei Ying	<a href="#">View</a>
US Securities Reg Calendar 7272022	<a href="#">View</a>
Reg Calendar 7272022	<a href="#">View</a>
UK Reg Calendar 7272022	<a href="#">View</a>
EU Reg Calendar 7272022	<a href="#">View</a>
and 24 more my update(s)	<a href="#">View</a>

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## HOT TOPICS

## CRYPTOCURRENCY

## BREXIT

## REGULATORY CALENDAR

Deadlines and links to key documents, by country or region

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## ANALYSIS AND INSIGHT

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Europe Regulatory Calendar [Updated 1 March 2023]

United Kingdom Regulatory Calendar [Updated 1 March 2023]

United States Banking Regulatory Calendar [Updated 1 March 2023]

United States Securities and Commodities Regulatory Calendar [Updated 1 March 2023]

Regulatory Calendar by Themes

Regulatory Theme: Capital Requirements [Updated 1 March 2023]

Regulatory Theme: Cryptoassets [Updated 1 March 2023]

Regulatory Theme: ESG [Updated 1 March 2023]

Regulatory Theme: Financial Crime [Updated 1 March 2023]

Regulatory Theme: Operational resilience and cyber security [Updated 1 March 2023]

Regulatory Calendar

Asia Regulatory Calendar [Updated 1 March 2023]

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## Asia Regulatory Calendar [Updated 1 March 2023]

Regulatory Calendar 964180516

Regulations

Regulatory Calendar:

Geography	Organizations	Topic	Summary	Key Date	Reg Intelligence link
China	China Securities Regulatory Commission	Measures for the Administration of Private Asset Management Business of Securities and Futures Institutions	The China Securities Regulatory Commission (CSRC) has published the "Measures for the Administration of Private Asset Management Business of Securities and Futures Institutions", effective 1 March 2023. [Source link in original language]	1-Mar-23	<a href="#">Reg Intelligence document</a>
China	China Banking and Insurance Regulatory Commission (CBIRC)	Administrative Measures for the Protection of Consumer Rights and Interests of Banking and Insurance Institutions	The China Banking and Insurance Commission has released the Administrative Measures for the Protection of Consumer Rights and Interests of Banking and Insurance Institutions, which will take effect on 1 March 2023. The Administrative Measures aim to maintain a fair and just financial market environment, protect the legitimate rights and interests of consumers, and promote the high-quality and healthy development of the banking and insurance industries. [Source document in original	1-Mar-23	<a href="#">Reg Intelligence document</a>

## RECENT DEVELOPMENTS

SGA Cap. 19. PROV57FB(9). 57FB. Disqualification or removal of director or... 03-Apr-2023 | Obligations

SGA Cap. 19. PROV57FB(1). 57FB. Disqualification or removal of director or... 03-Apr-2023 | Obligations

SGA Cap. 19. PROV39A(9). 39A. Use of minimum cash balances in liquidity stress... 03-Apr-2023 | Obligations

SGA Cap. 19. PROV38(9). 38. Liquid assets requirement 03-Apr-2023 | Obligations

SGA Cap. 19. PROV28(8). 28. Disclosure of interest by directors 03-Apr-2023 | Obligations

[See more Developments](#)

## SUGGESTED READING

IMPACT ANALYSIS: Canadian government ponders creation of 'foreign influence...' 03-Apr-2023 | Regulatory Intelligence Analysis

Retail market misconduct on the rise with digital finance, finds IOSCO 03-Apr-2023 | Regulatory Intelligence News

COUNTRY UPDATE-Algeria: Securities & Banking 03-Apr-2023 | Regulatory Intelligence Analysis

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