



# Thomson Reuters Regulatory Intelligence User Guide

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## About This User Guide

This user guide has been designed to assist you in using Thomson Reuters® Regulatory Intelligence. It will ensure you are able to use the solution to its fullest potential, and goes through the complete range of tools and features.

For further information and guidance, please contact our Global Client Support team, who will be happy to assist you:

**Email:** [regulatoryintelligence@thomsonreuters.com](mailto:regulatoryintelligence@thomsonreuters.com)

**Toll Free Numbers for all Risk Products:**

**APAC Toll Free:** +65 6407 4935 (Option 6, 1 or 2)

**US/Canada Toll Free:** +1 800-327-8829 (Option 6, 1 or 2)

**UK/EMEA Toll-Free:**

+44 020 3788-3125 / 0800 1577-801 (Option 6, 1 or 2)

Please note that live training is also available on request. If you are interested, please contact our Training team at:

[trritrainingrequests@thomsonreuters.com](mailto:trritrainingrequests@thomsonreuters.com).



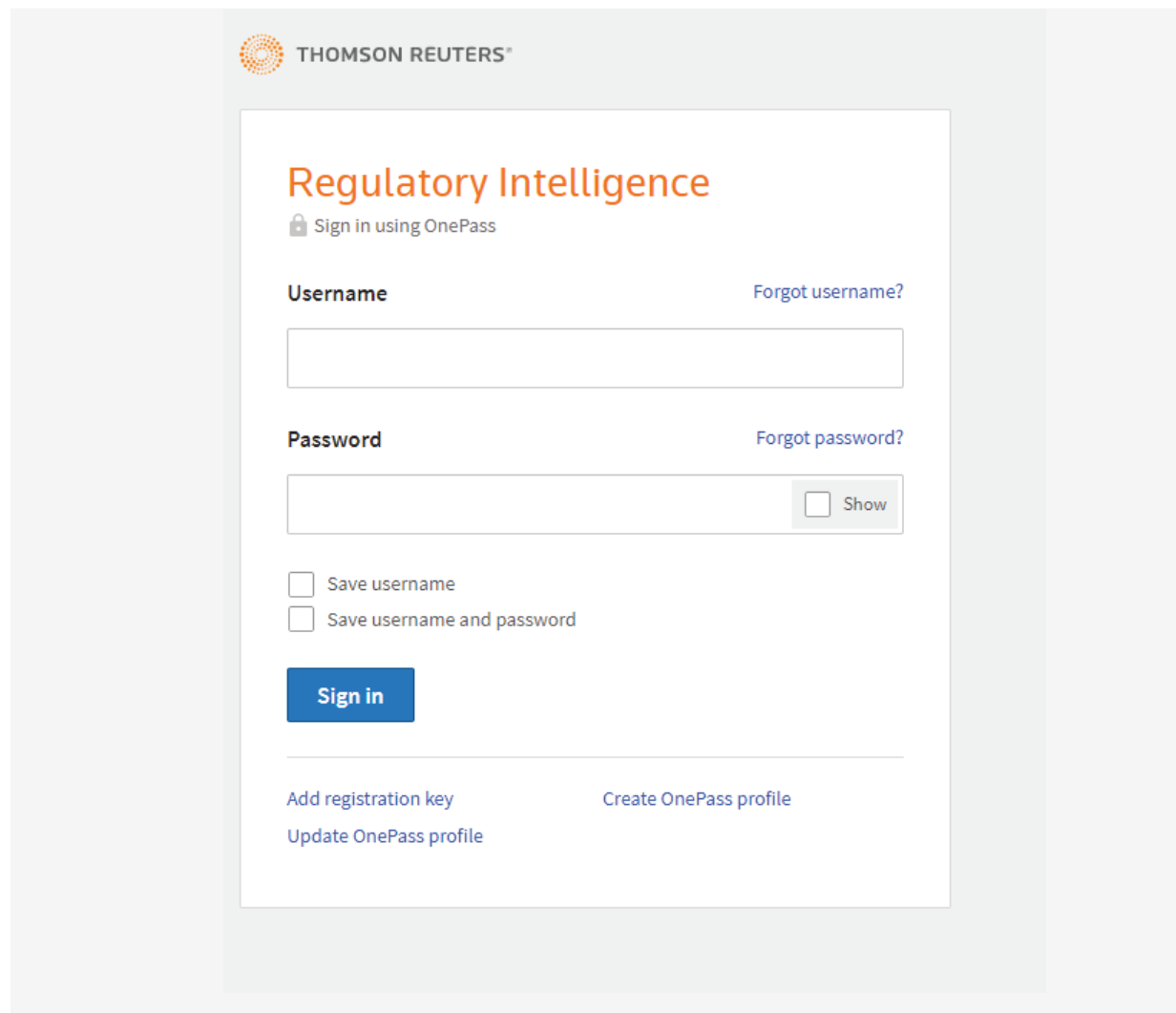
# Part 1: Login and Logout

## 1.1 Login

Regulatory Intelligence is accessible via the internet from any computer using the latest versions of Internet Explorer, Google Chrome, Firefox, or Safari (with auto updates turned on). Google Chrome is recommended for optimal user experience and performance.


Click on the following link: <https://regintel.thomsonreuters.com> and enter your OnePass username and password\* to access the Regulatory Intelligence platform.

\*Please note: In order to first access Thomson Reuters Regulatory Intelligence, you are required to create a OnePass profile (or update an existing profile) using the registration key provided to you via email. If you require assistance with the OnePass login, please click [here](#). Once set up, you will be prompted to change your password every 90 days.



THOMSON REUTERS®

### Regulatory Intelligence

 Sign in using OnePass

**Username** [Forgot username?](#)

**Password** [Forgot password?](#)

☐ Save username  
☐ Save username and password

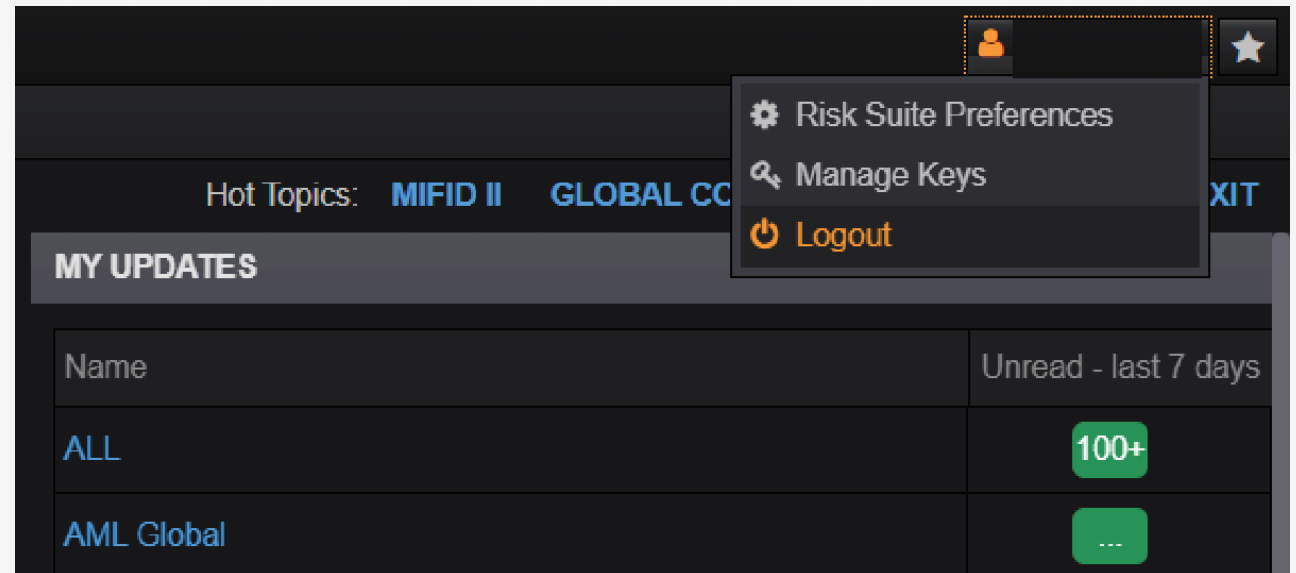
**Sign in**

[Add registration key](#) [Create OnePass profile](#)  
[Update OnePass profile](#)



## 1.2 Logout

Click on your username in the top right-hand corner of the home screen and select Logout from the drop-down to exit the platform.



## Part 2: Homepage

Once you have logged in, you will be able to view the following sections and options directly from the Homepage.

### Search (1)

This allows you to conduct a global search on Regulatory Intelligence by inputting keyword(s). Upon entering the keyword(s), the system will generate a drop-down list of suggested documents. You can choose to click on any of these documents directly or hit Enter to return a full list of related results. Refer to Part 3: [Keyword Search](#) for more details on search options.

### Home Menu (2)

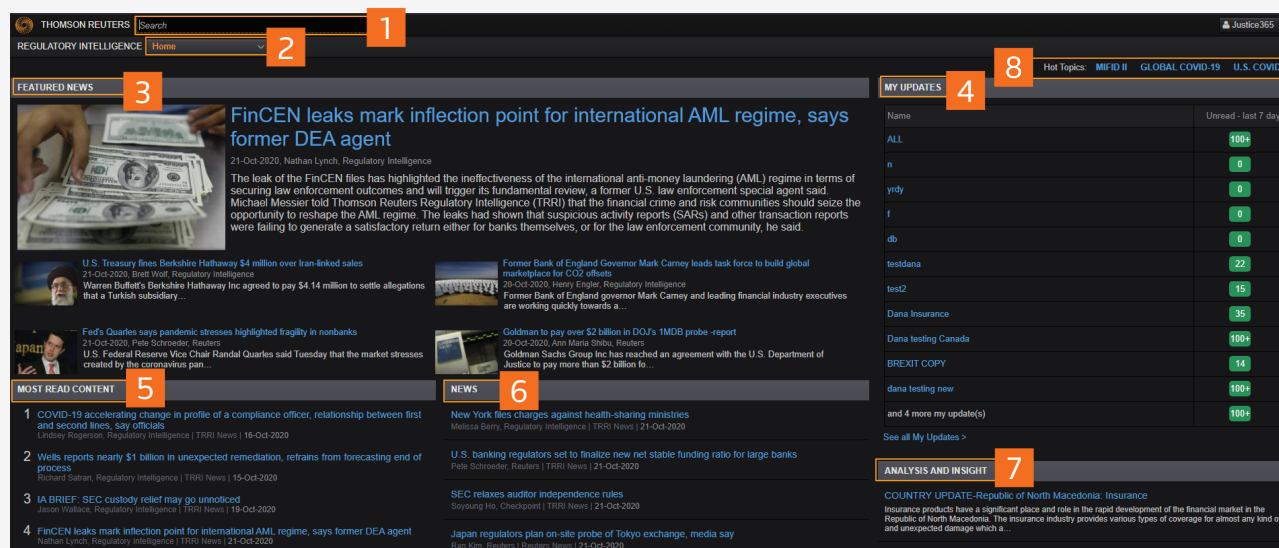
The drop-down menu allows you to move easily between the Homepage to the My Updates, Research (including the Library), Reports, and Settings sections.

### Featured News (3)

Featured articles are articles that have been spotlighted by our expert editorial team. These are the latest news and analysis articles that our editors have highlighted as being relevant to you.

### My Updates (4)

Here you have a view of the number of unread documents within each of your customized alerts, from the last 7 days. Click on either the profile title or the tally box to view your unread articles.



The screenshot shows the Thomson Reuters Regulatory Intelligence homepage. Numbered callouts indicate the following sections:

- 1**: Search bar at the top right.
- 2**: Home menu dropdown at the top.
- 3**: Featured News section with a large article titled "FinCEN leaks mark inflection point for international AML regime, says former DEA agent".
- 4**: My Updates section showing a list of alerts with unread counts.
- 5**: Most Read Content section showing a list of top articles.
- 6**: News section showing a list of recent news articles.
- 7**: Analysis and Insight section showing a list of analysis articles.
- 8**: Hot Topics section showing a list of trending topics.

The value of the number displayed adjusts as you click on and view the article(s).

**Part 5: My Updates provides you with more details on how to set up My Updates.**

### Most Read Content (5)

Quickly access the top 10 News and Analysis articles read by your peers from the last seven days. The list is refreshed daily.

### News (6)

From here you can view the most current news articles published by our global team of regulatory intelligence experts.

### Analysis and Insight (7)

Review the most current analysis and expert guidance articles.

### Hot Topics (8)

Curated pages of content dedicated to current issues that have been identified by our editorial team as having a substantial impact on compliance risk such as Brexit, Global Covid-19, US Covid-19, and MiFID II.

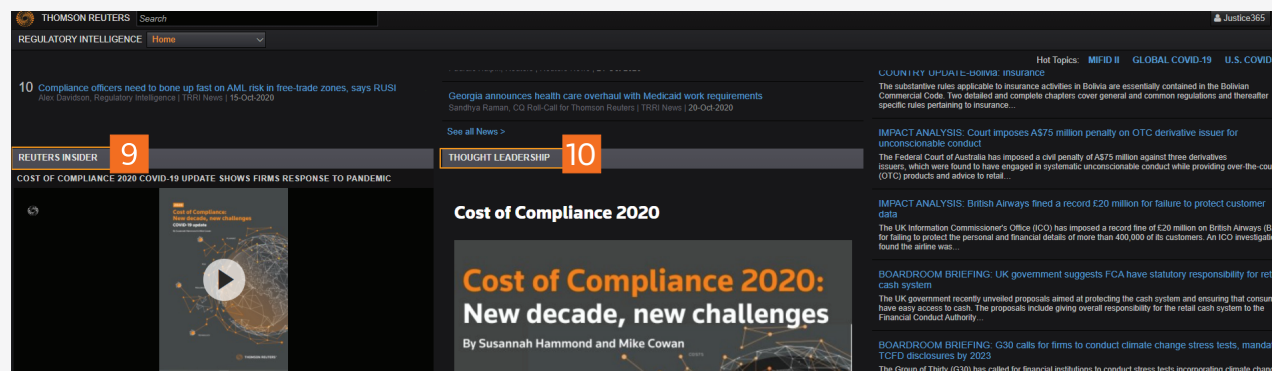
## Part 2: Homepage Continued

### Reuters Insider (9)

Designed for the financial community, REUTERS INSIDER regularly publishes videos covering news content, interviews and expert commentary from leading subject-matter experts both from within Reuters and from our trusted network of partners.

### Thought Leadership (10)

Access key reports, white papers and surveys written by our team of journalists at Thomson Reuters Regulatory Intelligence.



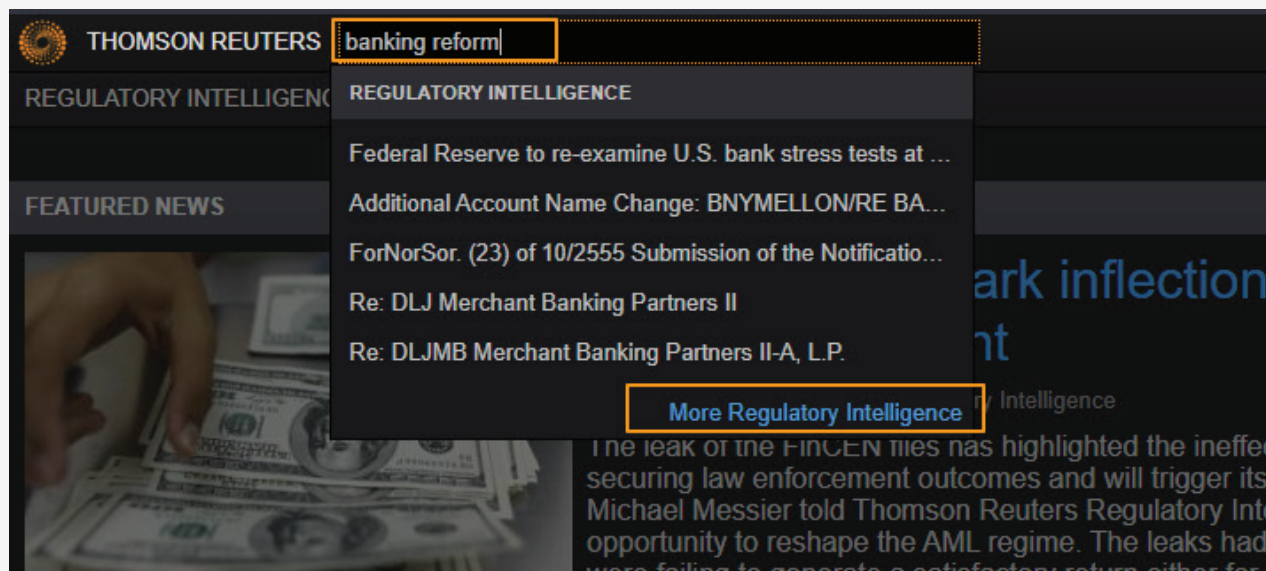


## Part 3: Keyword Search

### 3.1 Keyword Search

From the Homepage you can enter specific keywords (for example, banking reform) to search for related documents within Regulatory Intelligence. Upon entering the keywords, the system will generate a drop-down list of suggested documents. You can choose to click on any of these documents directly, or to return a full list of related results hit Enter, or select More Regulatory Intelligence.

Note that the Quick Search will find articles that mention the terms being searched. For example, if you enter Banking Reform, articles returned will contain Banking Reform as either a term, or separate words.

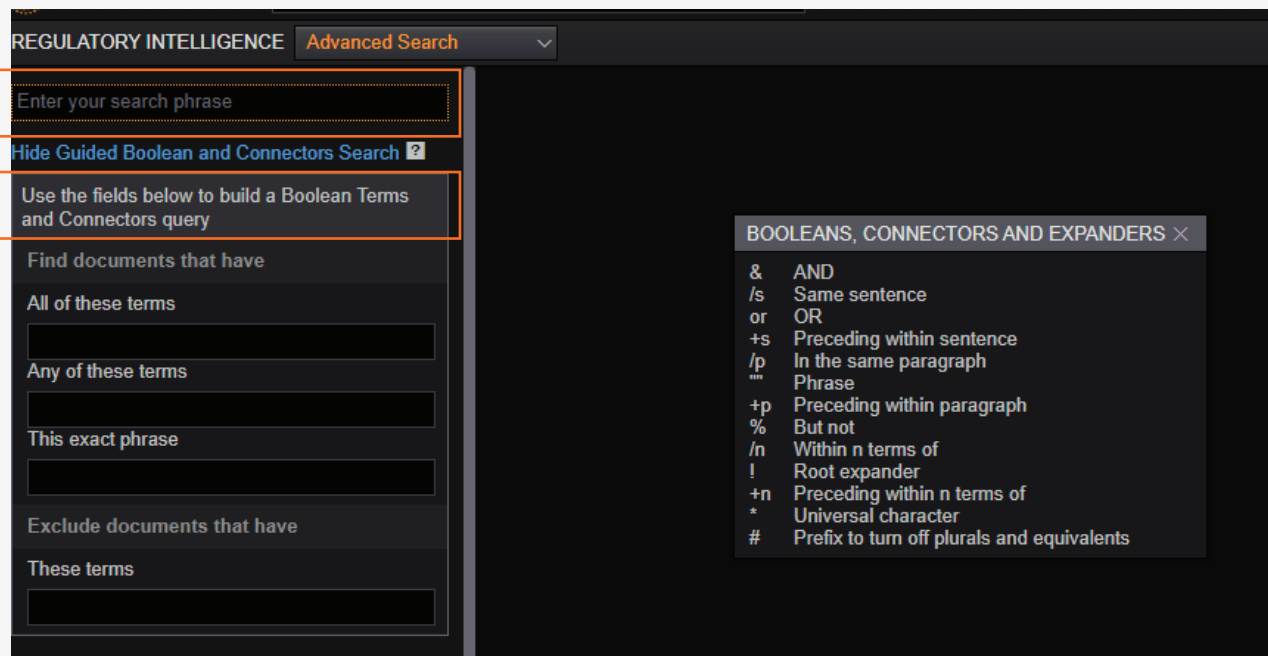


## 3.2 Keyword Search Options

The Quick Search feature allows you to run a keyword search that defaults to a Natural Language search. A Natural Language search is similar to a Google search.

If you want to run a more precise search you can alternatively use a Boolean Terms and Connectors search. Refer to Part 4:

[Research and Advanced Search Parameters](#) for more information on using Boolean Connectors.



REGULATORY INTELLIGENCE **Advanced Search** ▾

Enter your search phrase

Hide Guided Boolean and Connectors Search ?

Use the fields below to build a Boolean Terms and Connectors query

Find documents that have

All of these terms

Any of these terms

This exact phrase

Exclude documents that have

These terms

**BOOLEANS, CONNECTORS AND EXPANDERS** ✕

&	AND
/s	Same sentence
or	OR
+s	Preceding within sentence
/p	In the same paragraph
""	Phrase
+p	Preceding within paragraph
%	But not
/n	Within n terms of
!	Root expander
+n	Preceding within n terms of
*	Universal character
#	Prefix to turn off plurals and equivalents

### 3.3 Search Results Page

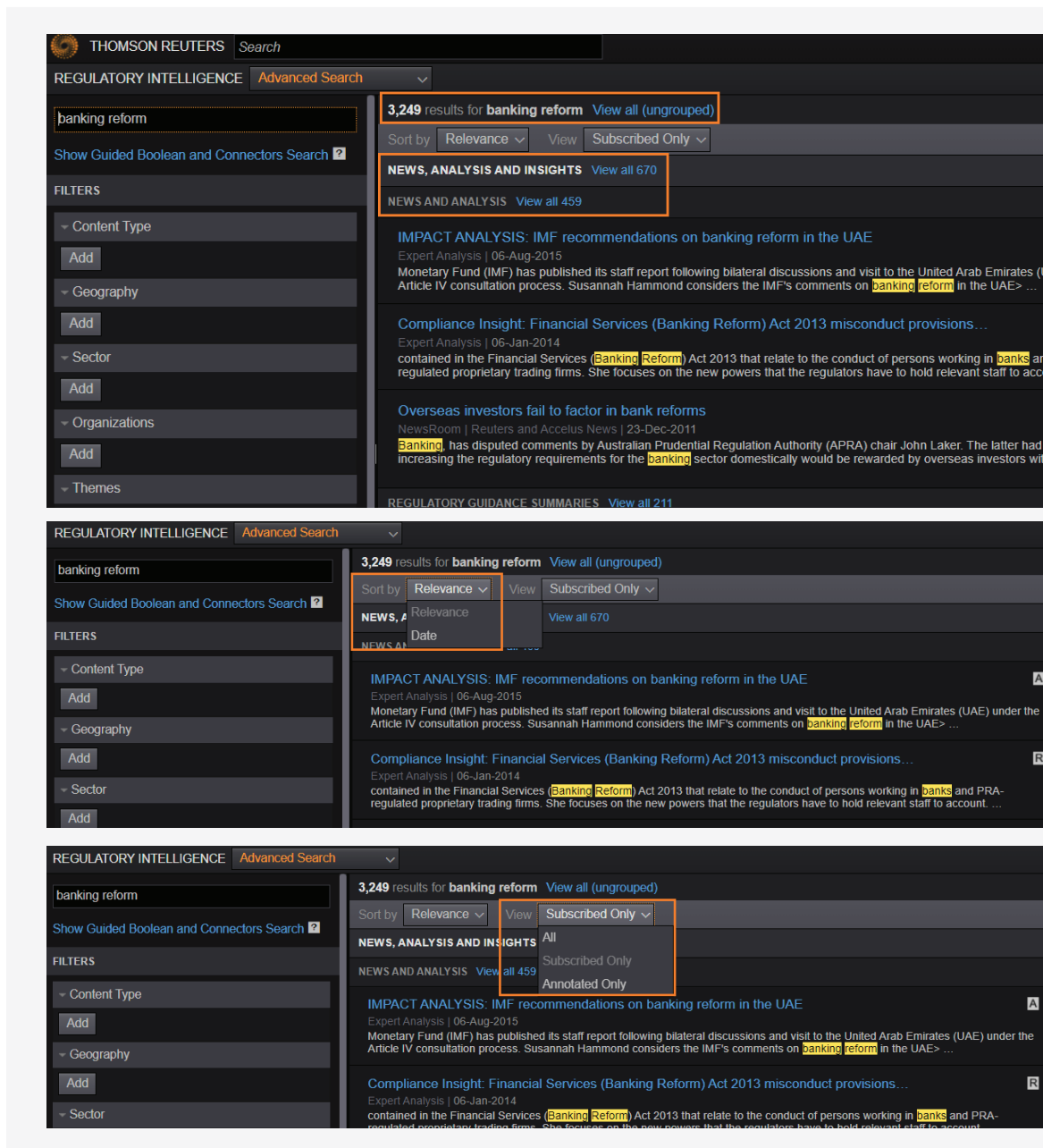
Search results are delivered via an Overview page and results are grouped by Content Type and then sub-content type by default:

- News, Analysis, and Insight
- Legislative material
- Regulatory material
- Executive material
- Secondary sources

The total number of search results returned are displayed at the top of the search results page and the count of search results for each content type is also shown in line with the content type name. In order to remove the Overview's default organization by Content Type, you can either select "View all (ungrouped)" or select the "View all" next to the content type you would like to specifically view.

Within each Content and sub-content type the results are automatically set to display in order of relevance when using a keyword search. This can be switched to date order by using the Sort by drop-down menu and selecting Date. The results will be listed chronologically with the most recent entry at the top.

The results generated by the global search are automatically set to display Subscribed Only documents. From the View drop-down menu, you can select to view All results or Annotated Only results. Refer to Section 3.3.1 Search Display Results for more information.



The screenshots illustrate the search results page for the query "banking reform".

- Top Screenshot:** Shows the search results page with 3,249 results. The "Sort by" dropdown is set to "Relevance". The "View" dropdown is set to "Subscribed Only". The "Content Type" filter is set to "News, Analysis and Insights".
- Middle Screenshot:** Shows the "Sort by" dropdown menu open, with "Relevance" selected. The "View" dropdown is also open, showing "Subscribed Only" selected.
- Bottom Screenshot:** Shows the "View" dropdown menu open, with "All" selected. The "Content Type" filter is set to "News, Analysis and Insights".

The search results page displays the following information:

- Search Query:** banking reform
- Results Count:** 3,249 results for banking reform
- Sort by:** Relevance (dropdown menu)
- View:** Subscribed Only (dropdown menu)
- Content Type:** News, Analysis and Insights (dropdown menu)
- Filters:** Content Type, Geography, Sector, Organizations, Themes
- Results:**
  - IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE** (Expert Analysis | 06-Aug-2015)
  - Compliance Insight: Financial Services (Banking Reform) Act 2013 misconduct provisions...** (Expert Analysis | 06-Jan-2014)
  - Overseas investors fail to factor in bank reforms** (NewsRoom | Reuters and Accelus News | 23-Dec-2011)



## 3.3.1 Search Display Results

### 3.3.1.1 All Results

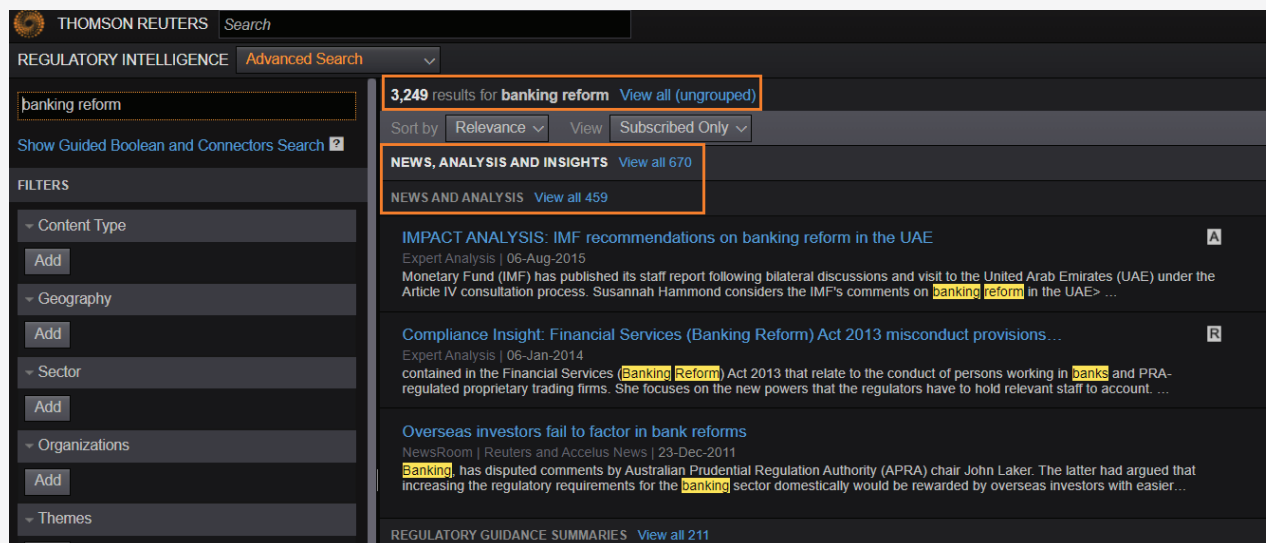
This allows you to see additional results that are outside your subscription but potentially relevant to your search. Please note that any content you are not subscribed to will not be available in its complete form. If you would like to obtain complete access to this content, please contact your account director at Thomson Reuters in order to request an upgrade or a change to your subscription.

### 3.3.1.2 Subscribed Only

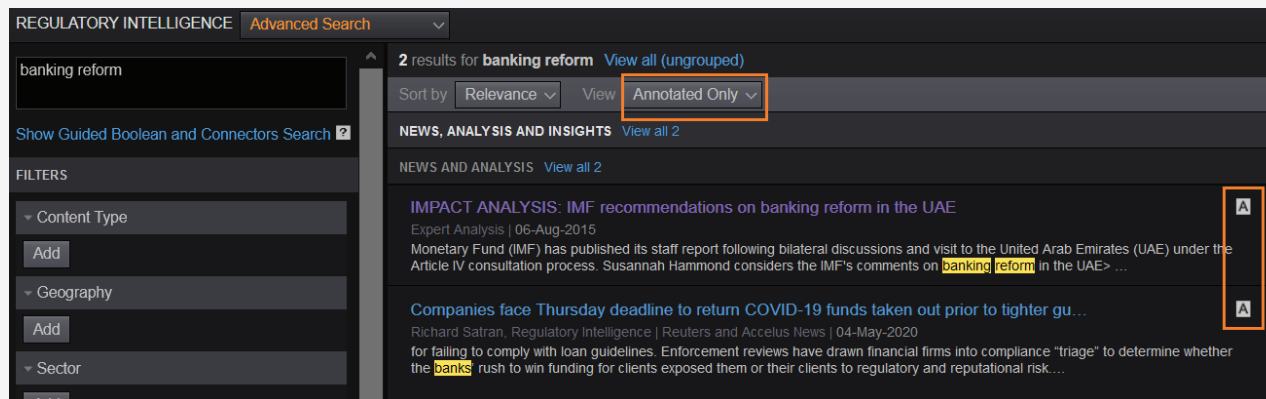
This enables you to view the results relevant and accessible to your subscription coverage.

### 3.3.1.3 Annotated Only

This lets you view only those results to which you have added custom notes with the Regulatory Intelligence annotation feature. Such results will appear with an "A" next to them. Please refer to Section 3.6.1 [Annotate](#) within this user guide for additional details.



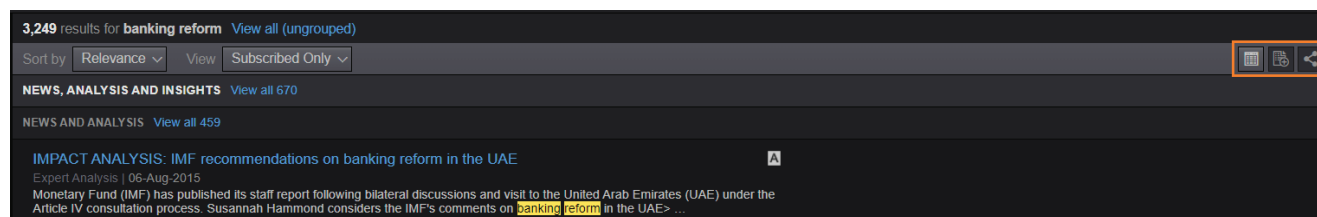
The screenshot shows the Thomson Reuters Regulatory Intelligence search interface. The search term is "banking reform". The results are displayed in a list format. The top section shows "3,249 results for banking reform" with a link to "View all (ungrouped)". Below this, there are filters for "Content Type", "Geography", "Sector", "Organizations", and "Themes". The results are sorted by "Relevance" and "View" is set to "Subscribed Only". The results are categorized into "NEWS, ANALYSIS AND INSIGHTS" (670 items) and "NEWS AND ANALYSIS" (459 items). The first result is "IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE" with a link to "View all 670". The second result is "Compliance Insight: Financial Services (Banking Reform) Act 2013 misconduct provisions..." with a link to "View all 459". The third result is "Overseas investors fail to factor in bank reforms" with a link to "View all 211".



The screenshot shows the Thomson Reuters Regulatory Intelligence search interface. The search term is "banking reform". The results are displayed in a list format. The top section shows "2 results for banking reform" with a link to "View all (ungrouped)". Below this, there are filters for "Content Type", "Geography", "Sector", "Organizations", and "Themes". The results are sorted by "Relevance" and "View" is set to "Annotated Only". The results are categorized into "NEWS, ANALYSIS AND INSIGHTS" (2 items) and "NEWS AND ANALYSIS" (2 items). The first result is "IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE" with a link to "View all 2". The second result is "Companies face Thursday deadline to return COVID-19 funds taken out prior to tighter gu..." with a link to "View all 2". Both results have an "A" icon next to them, indicating they are annotated.

## 3.4 Search Results Page, Additional Options

You can also select from a number of options located at the top right-hand corner of the article results page:



### 3.4.1 View in Calendar

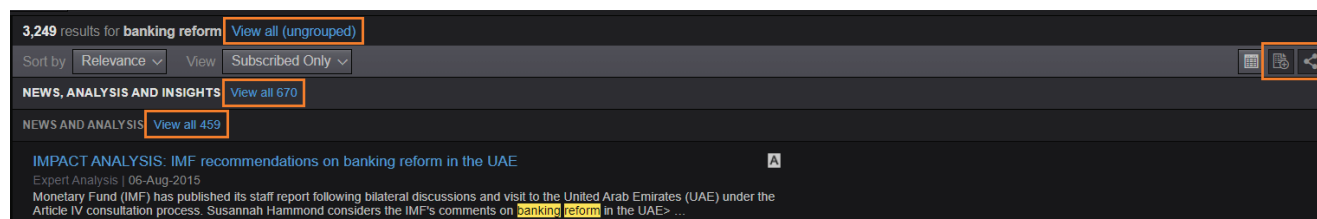
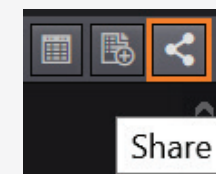
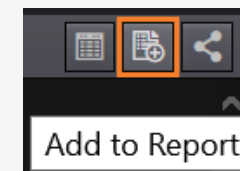
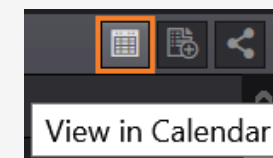
Your search results are set to display in a list format by default. By selecting the Calendar icon, your view switches to a calendar view of regulatory events based on your search criteria.

### 3.4.2 Add to Report

Search results can be collated and added to a custom report. From the sub-content level, select the Add to Report icon to move documents into an existing report or to select documents to create a new report. For more information, refer to [Part 7: Reports](#).


### 3.4.3. Share

Search results can be collated and exported into a CSV or XLS format. Multiple documents can be selected for export either manually or by using a date range. **Note:** From the Overview page, you will need to select “View all (ungrouped)” or click into a sub-content level, in order to have an the option to select the “Add to Report” or “Share” icon.



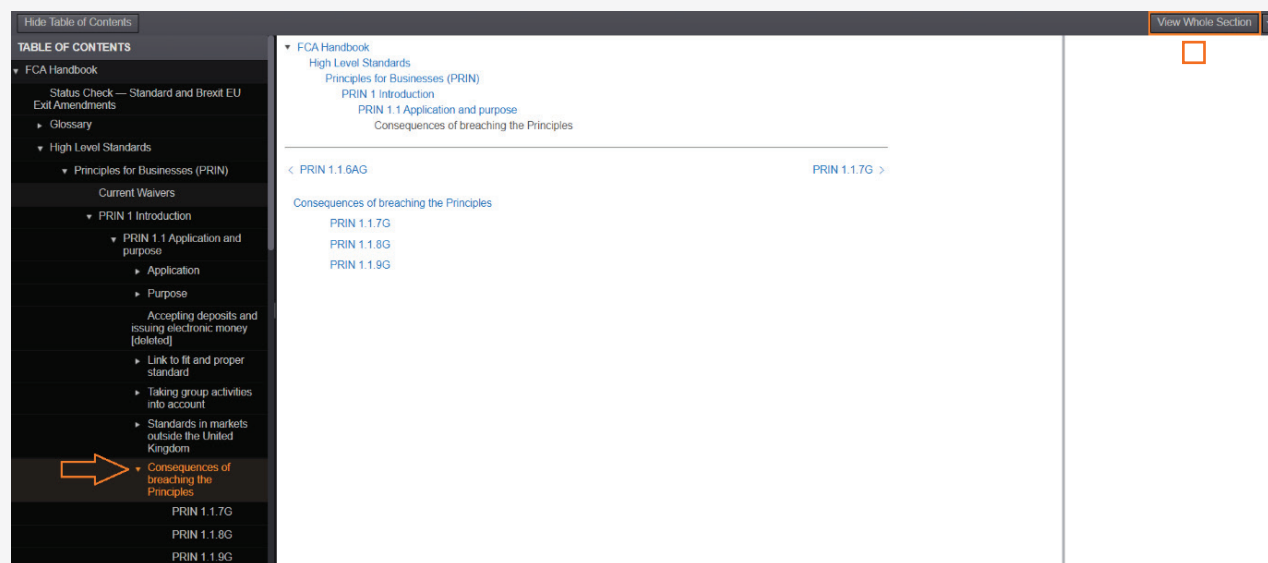
## 3.5 Article Options

To view an article in full, simply click on the document title from the Search results overview.

When viewing a document after running a keyword search, your search terms will be automatically displayed highlighted in yellow. This highlight feature can be switched off by selecting the Highlight Search Terms button  located at the top of the right-hand panel.

The options available from the document view will vary depending on whether the document being viewed is Legislative or Regulatory material, a News or Analysis article, or a Regulatory event summary.

The taxonomy properties, however, will always be listed underneath the main body of the document. These properties provide details of the global taxonomy classifications of the document in view including Geography, Sector, Content Type, Organizations, and Themes.



Geography	United States of America
Sector	Healthcare
Content Type	Reuters and Accelus News
Themes	Billing and reimbursement, Medicaid covered services and coverage requirements, Medicaid eligibility, Inpatient services, Safety, Telehealth

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[Complaints Procedure](#)



## 3.5.1 Viewing Legislative or Regulatory Material

Legislative and Regulatory material, referred to internally as “Rulebooks,” are divided into the following sections:

### Table of contents (1):

This shows the entire table of contents for the rulebook. The table of contents is broken down to the rule level, and you can click through this using the arrow icon to expand or collapse an entry and to immediately view a specific section within the rulebook.

The table of contents can be hidden from view by selecting the Hide Table of Contents button.

### Breadcrumb trail (2):

A breadcrumb trail will help you to see the location of the document in view within the overall rulebook.

### Versions (3):

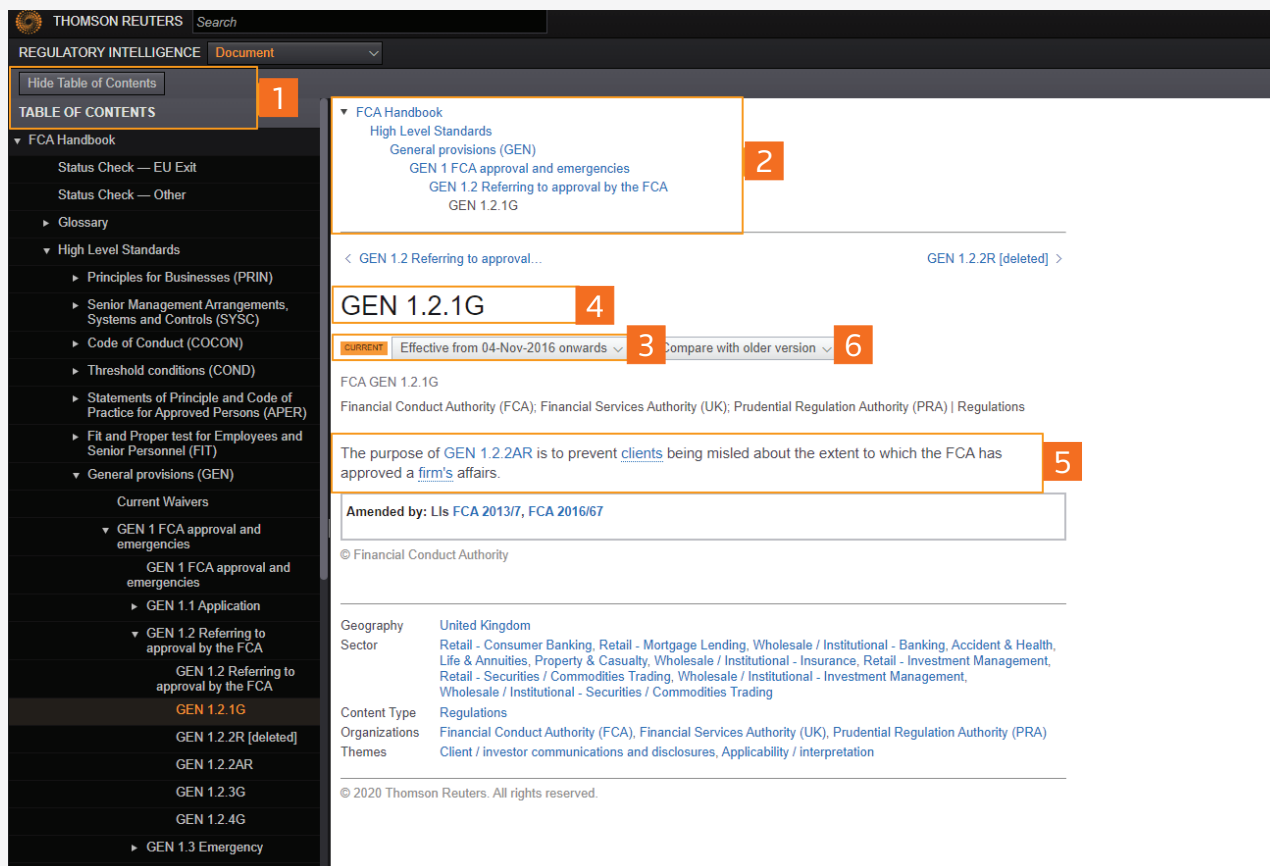
Select the version drop-down to view all previous iterations of the document and, if applicable, associated future versions.

### Section Title and/or Number (4):

Section title and/or rule citation.

### Body of document (5):

The actual text of the document is shown in the main body of the document viewer.



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. On the left, a sidebar shows the 'TABLE OF CONTENTS' for the 'FCA Handbook'. The 'High Level Standards' section is expanded, showing 'Principles of Businesses (PRIN)', 'Senior Management Arrangements, Systems and Controls (SYSC)', 'Code of Conduct (COCON)', 'Threshold conditions (COND)', 'Statements of Principle and Code of Practice for Approved Persons (APER)', 'Fit and Proper test for Employees and Senior Personnel (FIT)', and 'General provisions (GEN)'. The 'General provisions (GEN)' section is further expanded, showing 'Current Waivers', 'GEN 1 FCA approval and emergencies', 'GEN 1.1 Application', 'GEN 1.2 Referring to approval by the FCA', 'GEN 1.2.1G', 'GEN 1.2.2R [deleted]', 'GEN 1.2.2AR', 'GEN 1.2.3G', 'GEN 1.2.4G', and 'GEN 1.3 Emergency'. The main content area shows the 'GEN 1.2.1G' document. The document title is 'GEN 1.2.1G'. Below the title, there is a 'Compare with older version' dropdown menu. The document text states: 'The purpose of GEN 1.2.2AR is to prevent clients being misled about the extent to which the FCA has approved a firm's affairs.' The document is amended by 'Lis FCA 2013/7, FCA 2016/67'. The footer includes the copyright notice '© 2020 Thomson Reuters. All rights reserved.'

### Compare (6)

Select historic versions from the 'Compare with older version' drop down menu to view and compare the changes made between the different versions of a rule or piece of legislation. Please see [3.5.1.2 Using Redline](#) within this user guide for additional details.

## 3.5.1 Viewing Legislative or Regulatory Material continued

### Taxonomy (6):

Document taxonomy properties.

### Related content:

There are three possible widgets that will appear on the right-hand side in the new document view.

### Related Documents (7):

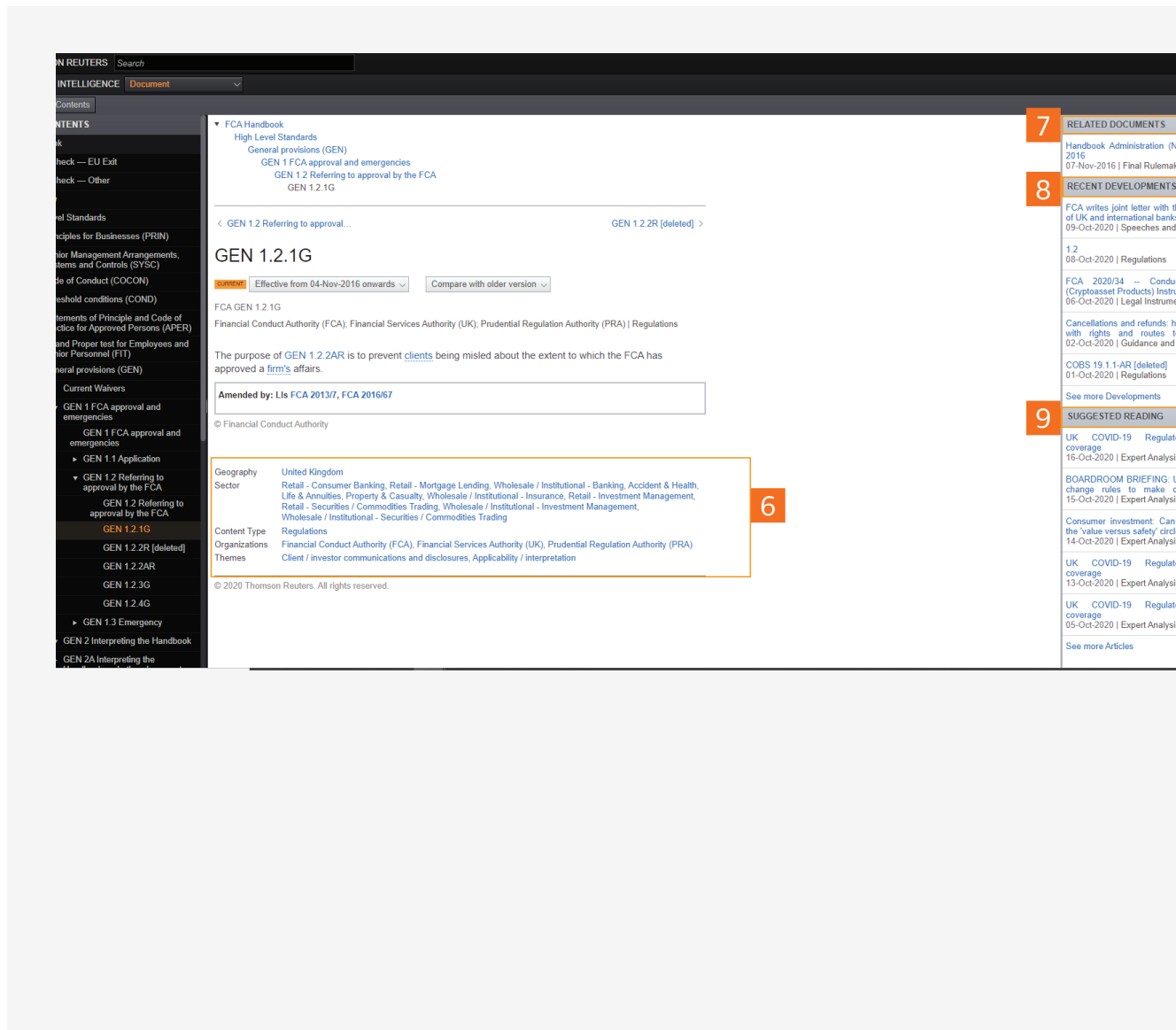
Links that have been manually created by the editor/author of the document and therefore likely to be a highly accurate reflection of related content. An example could be historical "Analysis" pieces written in the past on the same subject.

### Recent Developments (8):

Automatically created links to the most recent developments under Regulatory, Legislative, and Executive materials from the regulatory/legislative authority in view based on Organization, Theme, Geography, and Sector.

### Suggested Reading (9):

Automatically created links to Thomson Reuters curated content (i.e., news, analysis, guidance), which matches the document in view based on Geography, Sector, and Theme classifications.



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. The main content area shows the document 'GEN 1.2.1G' with its title, effective date (04-Nov-2016 onwards), and a description of its purpose. The left sidebar contains a 'CONTENTS' menu with various document sections. The right sidebar features three widgets: 'RELATED DOCUMENTS' (7), 'RECENT DEVELOPMENTS' (8), and 'SUGGESTED READING' (9). The 'RELATED DOCUMENTS' widget lists related documents like 'Handbook Administration (No 2016)'. The 'RECENT DEVELOPMENTS' widget lists recent developments like 'FCA writes joint letter with the of UK and international banks'. The 'SUGGESTED READING' widget lists suggested reading like 'UK COVID-19 Regulatory coverage'. The 'Taxonomy (6)' widget is located at the bottom of the main content area, showing document properties like Geography (United Kingdom), Sector (Retail - Consumer Banking, Retail - Mortgage Lending, Wholesale / Institutional - Banking, Accident & Health, Life & Annuities, Property & Casualty, Wholesale / Institutional - Insurance, Retail - Investment Management, Retail - Securities / Commodities Trading, Wholesale / Institutional - Investment Management, Wholesale / Institutional - Securities / Commodities Trading), Content Type (Regulations), Organizations (Financial Conduct Authority (FCA), Financial Services Authority (UK), Prudential Regulation Authority (PRA)), and Themes (Client / investor communications and disclosures, Applicability / interpretation).

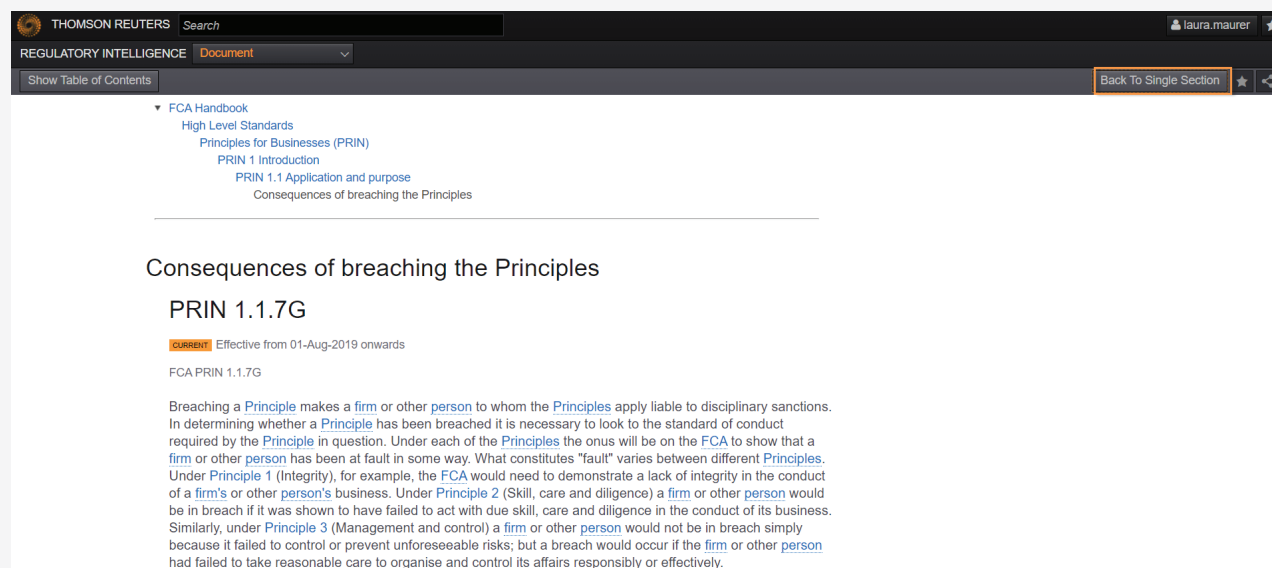
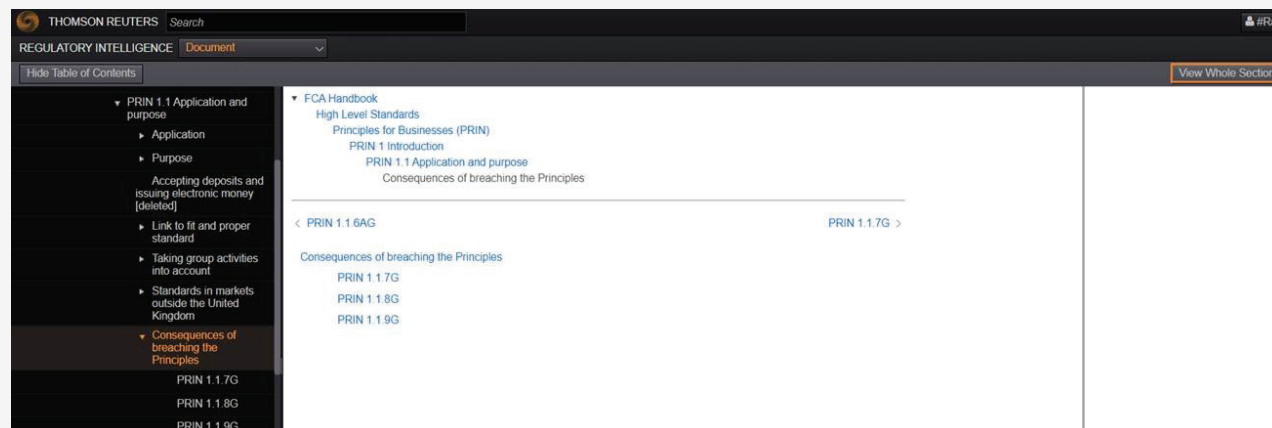
### 3.5.1.1 Using View Whole Section

When navigating the Table of Contents, wherever you select a parent node you will have the option to select 'View Whole Section.'

The View Whole Section feature allows you to view the whole section of the document you are reading i.e., all sublevel sections associated to the document. The View Whole Section button is displayed at the top of the right-hand panel. This saves time instead of having to select and open each section from the Table of Contents.

In the above example, by selecting View Whole Section, the user will be able to view all the Table of Content entries under 'Consequences of breaching the Principles'.

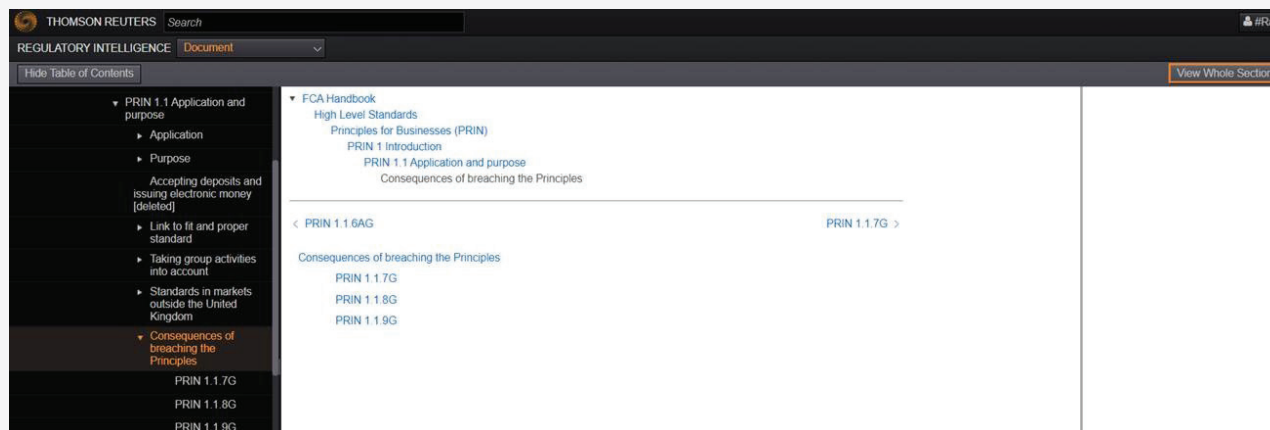
To return to the outline table of contents view, select "Back To Single Section" on the top right corner of your document.





### 3.5.1.1 Using View Whole Section continued

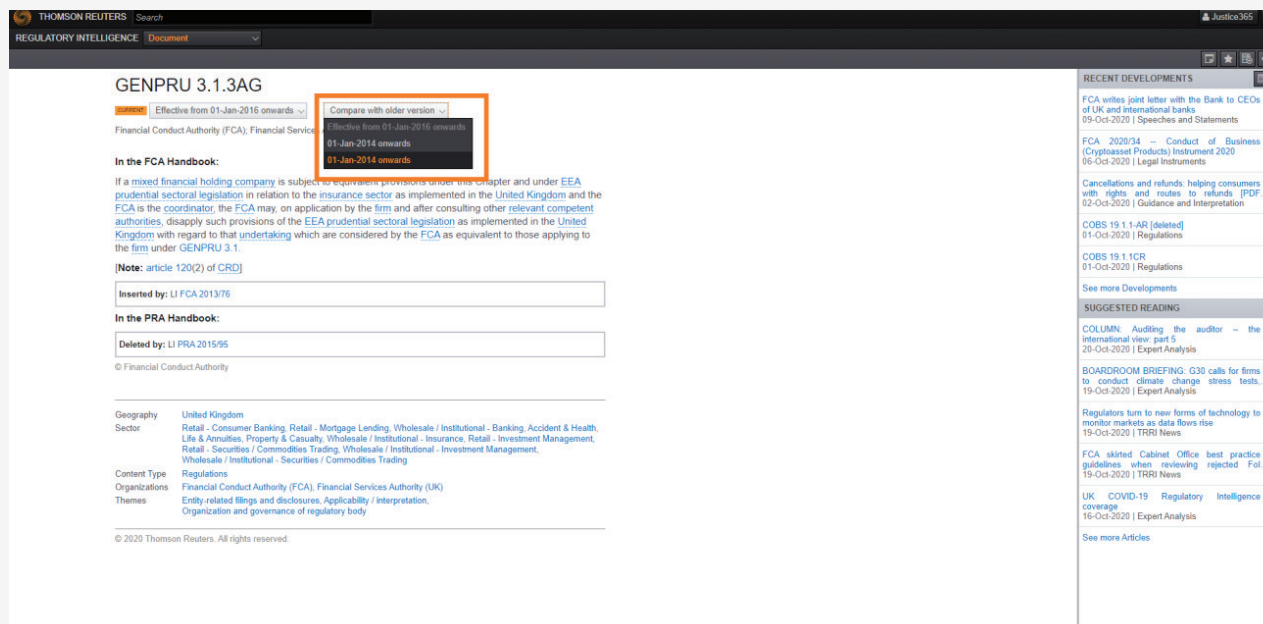
When documents are too large to be loaded instantly, users will see a “Load more content” indicator at the bottom of the screen. When this is selected, more content can be loaded.



### 3.5.1.2 Using Redlining

Redlining enables you to compare legislative or regulatory material with an earlier version, and see the additions and deletions in a single document view without the need to review multiple versions in order to understand what has changed.

From the Compare pull-down menu, select the version you want to compare against the version in view, and the screen will refresh to show the document with additions highlighted in green and deletions highlighted in red with strikethrough. The number of deletions and additions is shown at the top of the document.



1 deletions and 5 additions.

## COBS 4.3.1R

FCA COBS 4.3.1R

(1) A firm must ensure that a financial promotion addressed to a client is clearly identifiable as such.

[

Note:

article 24(3) of MiFID, article 17(2) of the IDD and article 77 of the UCITS Directive

(2) If a financial promotion relates to a firm's MiFID, equivalent third country or optional extension

## 3.5.2 Viewing a News or Analysis Article

### Title (1):

Article title.

### Publication Date and Author's name (2):

The date the article was published on Regulatory

Intelligence and the author's name. Clicking on the author's name opens a pop-up box with details of the author.

### Content Type (3):

Thomson Reuters proprietary News, Analysis, and Insight content type.

### Body of document (4):

The main body of the document itself.

### Related content: (5)

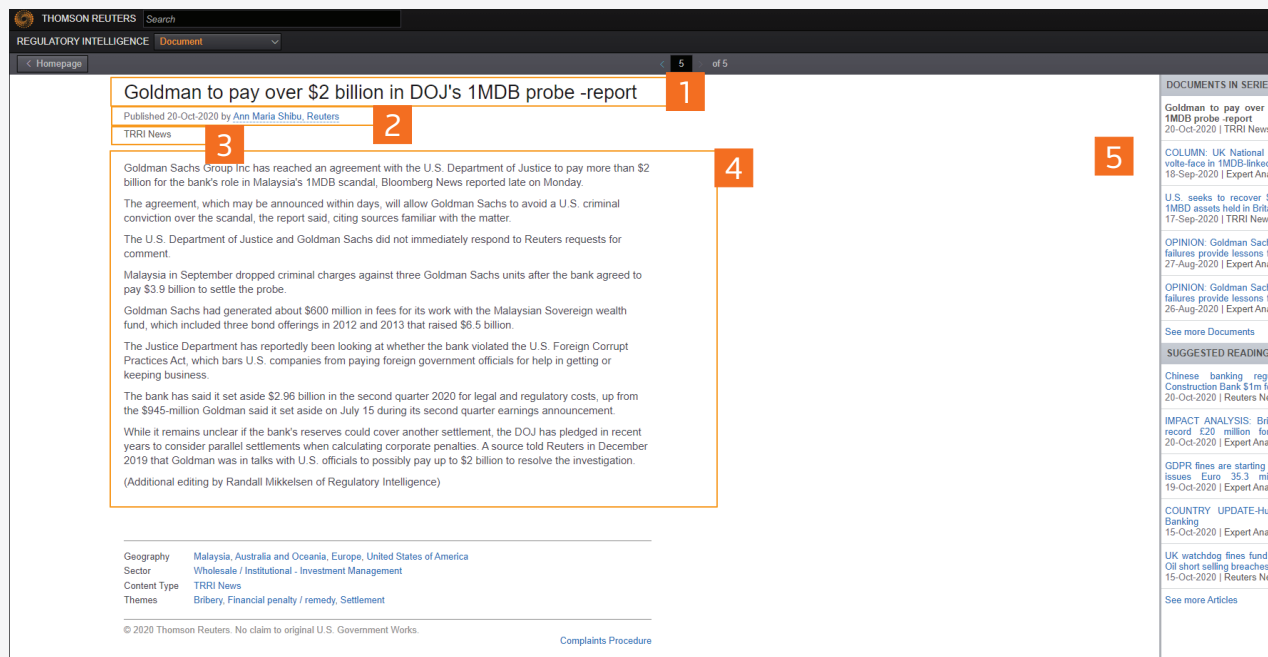
There are two possible widgets that will appear on the right-hand side in the document view:

#### Documents in Series

Editorially curated relationships linking other proprietary news and analysis articles on the same subject or topic.

#### Suggested Reading

(As per page 15)



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. The document title is "Goldman to pay over \$2 billion in DOJ's 1MDB probe -report". The publication date is "20-Oct-2020" and the author is "Ann Maria Shibu, Reuters". The content type is "TRRI News". The main body of the document contains several paragraphs detailing the agreement between Goldman Sachs and the U.S. Department of Justice regarding the 1MDB scandal. On the right-hand side, there are two widgets: "DOCUMENTS IN SERIES" and "SUGGESTED READING". The "DOCUMENTS IN SERIES" widget lists related articles, including "Goldman to pay over \$2 billion in DOJ's 1MDB probe -report" and "COLUMN: UK National Crime Agency's 1MDB-linked deal". The "SUGGESTED READING" widget lists related articles, including "Chinese banking regulator Construction Bank \$1m for violation" and "IMPACT ANALYSIS: British record £20 million for fine".

**1** Goldman to pay over \$2 billion in DOJ's 1MDB probe -report

**2** Published 20-Oct-2020 by Ann Maria Shibu, Reuters

**3** TRRI News

**4**

**5**

Goldman Sachs Group Inc has reached an agreement with the U.S. Department of Justice to pay more than \$2 billion for the bank's role in Malaysia's 1MDB scandal, Bloomberg News reported late on Monday.

The agreement, which may be announced within days, will allow Goldman Sachs to avoid a U.S. criminal conviction over the scandal, the report said, citing sources familiar with the matter.

The U.S. Department of Justice and Goldman Sachs did not immediately respond to Reuters requests for comment.

Malaysia in September dropped criminal charges against three Goldman Sachs units after the bank agreed to pay \$3.9 billion to settle the probe.

Goldman Sachs had generated about \$600 million in fees for its work with the Malaysian Sovereign wealth fund, which included three bond offerings in 2012 and 2013 that raised \$6.5 billion.

The Justice Department has reportedly been looking at whether the bank violated the U.S. Foreign Corrupt Practices Act, which bars U.S. companies from paying foreign government officials for help in getting or keeping business.

The bank has said it set aside \$2.96 billion in the second quarter 2020 for legal and regulatory costs, up from the \$945-million Goldman said it set aside on July 15 during its second quarter earnings announcement.

While it remains unclear if the bank's reserves could cover another settlement, the DOJ has pledged in recent years to consider parallel settlements when calculating corporate penalties. A source told Reuters in December 2019 that Goldman was in talks with U.S. officials to possibly pay up to \$2 billion to resolve the investigation.

(Additional editing by Randall Mikkelsen of Regulatory Intelligence)

Geography Malaysia, Australia and Oceania, Europe, United States of America

Sector Wholesale / Institutional - Investment Management

Content Type TRRI News

Themes Bribery, Financial penalty / remedy, Settlement

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**DOCUMENTS IN SERIES**

Goldman to pay over \$2 billion in DOJ's 1MDB probe -report  
20-Oct-2020 | TRRI News

COLUMN: UK National Crime Agency's 1MDB-linked deal  
18-Sep-2020 | Expert Analysis

U.S. seeks to recover \$300 million in 1MDB-linked assets held in Britain  
17-Sep-2020 | TRRI News

OPINION: Goldman Sachs' 1MDB failures provide lessons for fi  
27-Aug-2020 | Expert Analysis

OPINION: Goldman Sachs' 1MDB failures provide lessons for fi  
26-Aug-2020 | Expert Analysis

[See more Documents](#)

**SUGGESTED READING**

Chinese banking regulator Construction Bank \$1m for violation  
20-Oct-2020 | Reuters News

IMPACT ANALYSIS: British record £20 million for fine  
20-Oct-2020 | Expert Analysis

GDPR fines are starting to hit  
19-Oct-2020 | Expert Analysis

COUNTRY UPDATE-Hungary  
15-Oct-2020 | Expert Analysis

UK watchdog fines fund ARI  
15-Oct-2020 | Reuters News

[See more Articles](#)

## 3.5.3 Viewing a Regulatory Event Summary

### Title (1):

Document title

### Source Publication Date (SPD) (2):

The date the regulatory event was published by the regulator/organization will always be captured in the SPD. Any other associated event date types will also be shown here as and when applicable.

### Organization and Content Type (3):

Publishing regulator/organization and event content type.

### Summary (4):

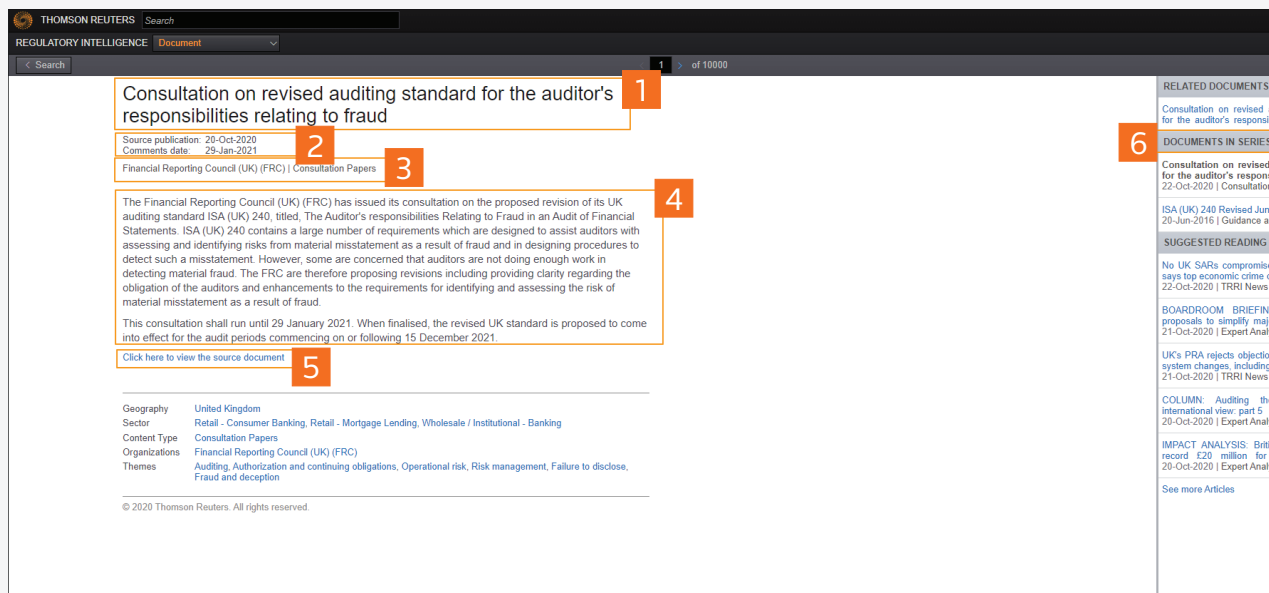
A summary of the contents of the article. This may be an extract from the article itself or of the analysis Thomson Reuters has made of the particular regulatory event.

### Link to Source Document (5):

Link to the full source document. This may be an external link or a Regulatory Intelligence internal link.

### Documents in Series (6):

Related Regulatory Event Summaries can be collated together in a series.



THOMSON REUTERS Search

REGULATORY INTELLIGENCE Document 1 of 10000

**1** Consultation on revised auditing standard for the auditor's responsibilities relating to fraud

**2** Source publication: 20-Oct-2020  
Comments date: 29-Jan-2021

**3** Financial Reporting Council (UK) (FRC) | Consultation Papers

**4** The Financial Reporting Council (UK) (FRC) has issued its consultation on the proposed revision of its UK auditing standard ISA (UK) 240, titled, The Auditor's responsibilities Relating to Fraud in an Audit of Financial Statements. ISA (UK) 240 contains a large number of requirements which are designed to assist auditors with assessing and identifying risks from material misstatement as a result of fraud and in designing procedures to detect such a misstatement. However, some are concerned that auditors are not doing enough work in detecting material fraud. The FRC are therefore proposing revisions including providing clarity regarding the obligation of the auditors and enhancements to the requirements for identifying and assessing the risk of material misstatement as a result of fraud.

This consultation shall run until 29 January 2021. When finalised, the revised UK standard is proposed to come into effect for the audit periods commencing on or following 15 December 2021.

**5** [Click here to view the source document](#)

Geography	United Kingdom
Sector	Retail - Consumer Banking, Retail - Mortgage Lending, Wholesale / Institutional - Banking
Content Type	Consultation Papers
Organizations	Financial Reporting Council (UK) (FRC)
Themes	Auditing, Authorization and continuing obligations, Operational risk, Risk management, Failure to disclose, Fraud and deception

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**6** RELATED DOCUMENTS

Consultation on revised audit for the auditor's responsibilities

DOCUMENTS IN SERIES

Consultation on revised audit for the auditor's responsibilities

ISA (UK) 240 Revised June 2020-June 2016 | Guidance and I

SUGGESTED READING

No UK SARs compromised in says top economic crime official 22-Oct-2020 | TRRI News

BOARDROOM BRIEFING: proposals to simplify major is 21-Oct-2020 | Expert Analysis

UK's PRA rejects objections to system changes, including co 21-Oct-2020 | TRRI News

COLUMN: Auditing the international view: part 5 20-Oct-2020 | Expert Analysis

IMPACT ANALYSIS: British record £20 million for fail 20-Oct-2020 | Expert Analysis

[See more Articles](#)

## 3.6 Document Share and Export Features

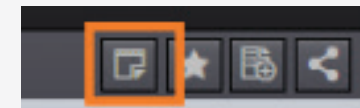
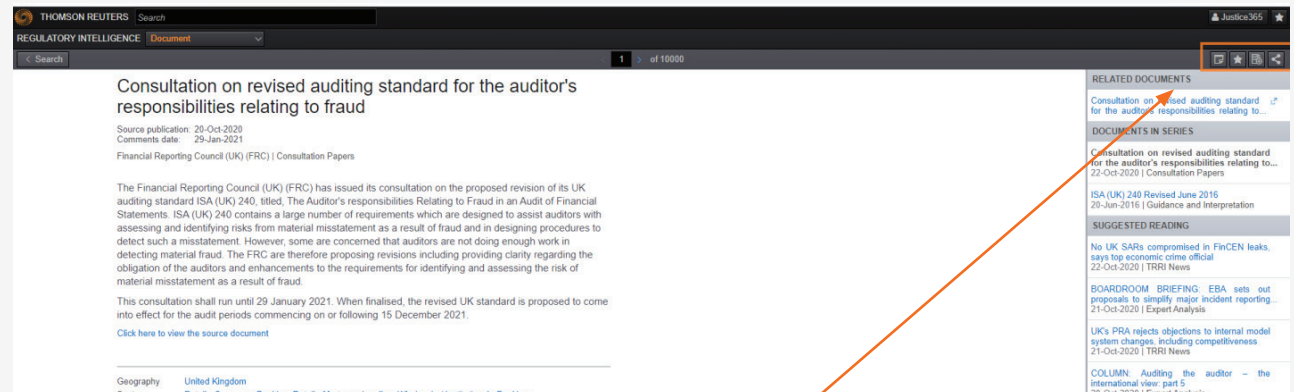
From the document view, you can select from a number of options located in the top right-hand corner: *Annotate*; *Bookmark*; *Add to Report* and *Share*.

### 3.6.1 Annotate:

By clicking on the Annotate icon, you can add your own notes of up to 2,000 characters to the document. Once the note is saved, you can click on the icon a second time to *delete* or *edit* your comments.

When viewed from search results, My Updates and Reports, all articles with notes appear with an “A” icon to illustrate that the document has been annotated by you.

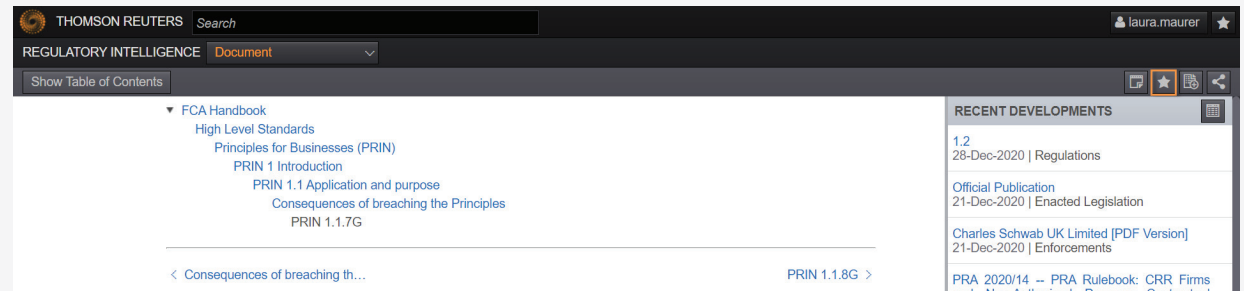
Documents with notes can be filtered from the Search Results by clicking on the Annotated only drop-down. Please see [3.3.1.3 Annotated only](#) within this user guide for additional details.



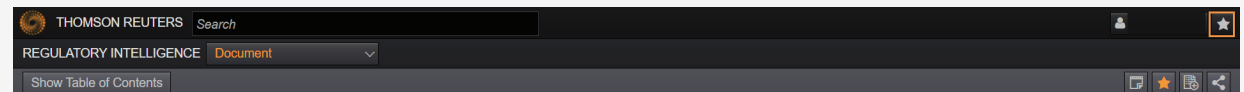


## 3.6.2 Bookmark

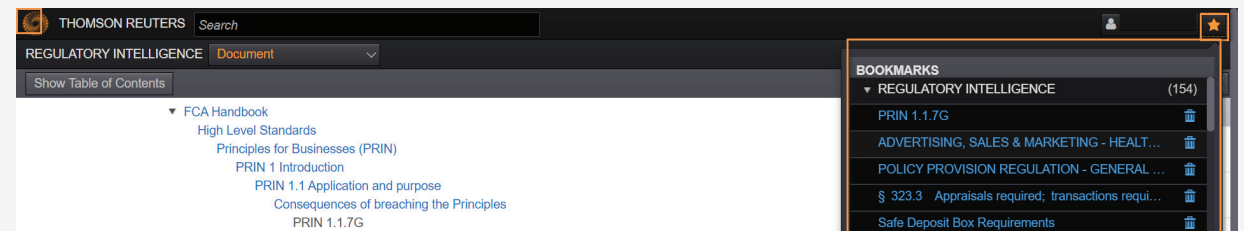
Clicking on the Star icon located to the top right-hand corner of the document in view allows you to bookmark specific content.



All bookmarked content can be accessed from the global bookmarked list, accessible from the Star icon in the top right-hand corner of each screen in the application.



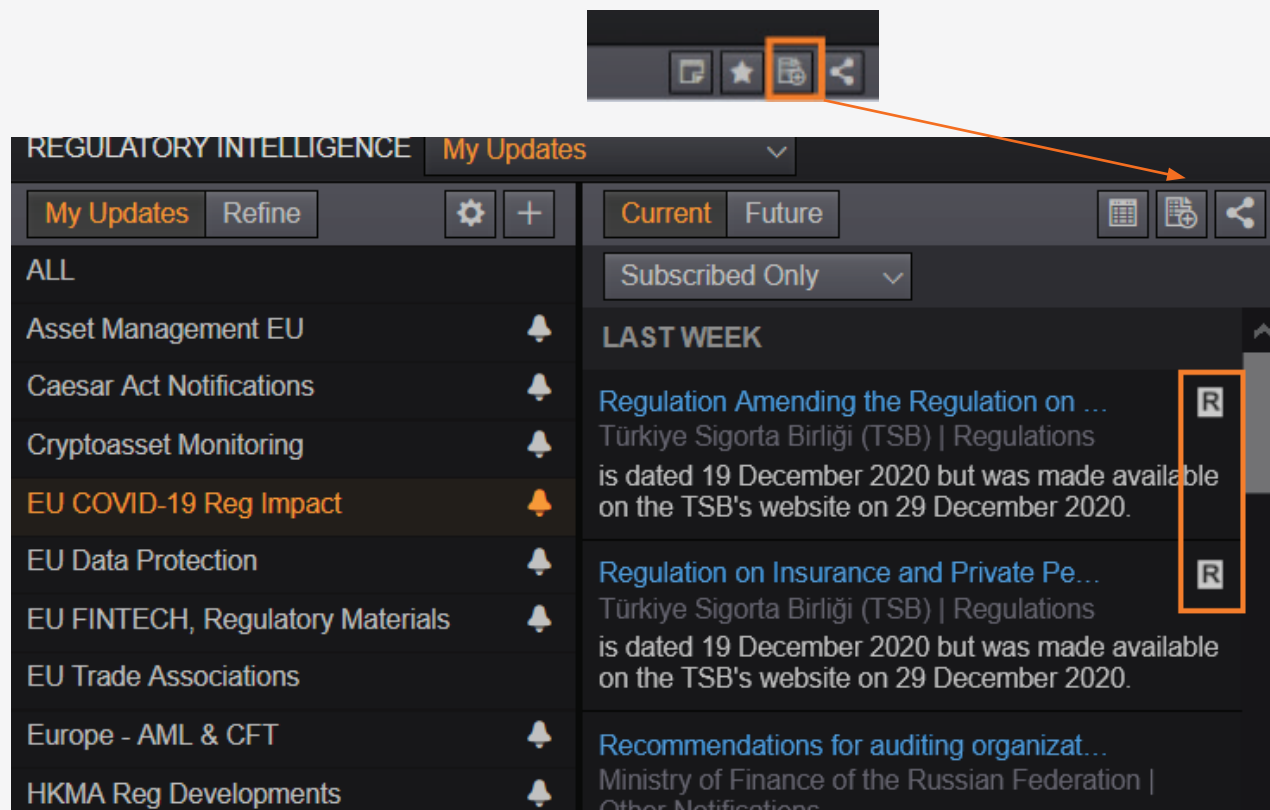
Bookmarked content can be deleted by selecting the Trash icon image.



### 3.6.3 Add to Report

Clicking on this Add to Report icon will enable you to add a specific document to a report. More information on reports is provided in [Part 7: Reports](#).

Documents that have been added to a report will appear with an 'R' next to the document title, when viewed from within Search results or My Updates. A document can be added to multiple reports.



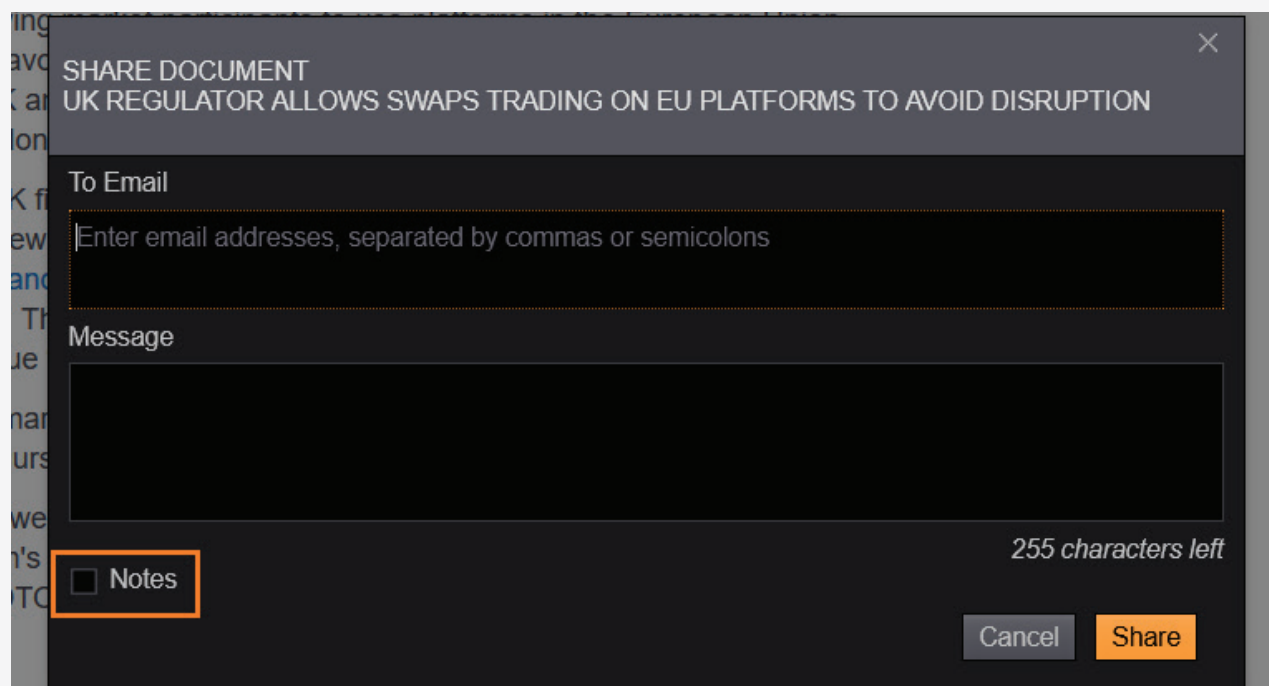
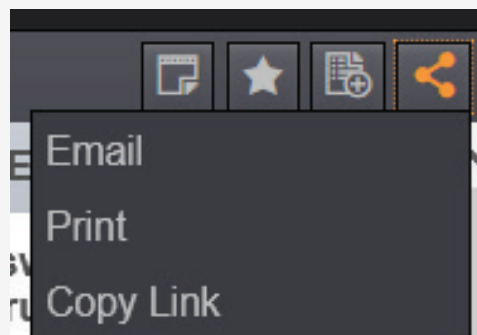
## 3.6.4 Share

Clicking on the Share icon allows you to export and share the document in view by email, PDF print, or by copying the link.

### 3.6.4.1 Email

Selecting Email allows you to send a document via email along with a message of up to 255 characters. You can also select to include any associated annotation in your email.

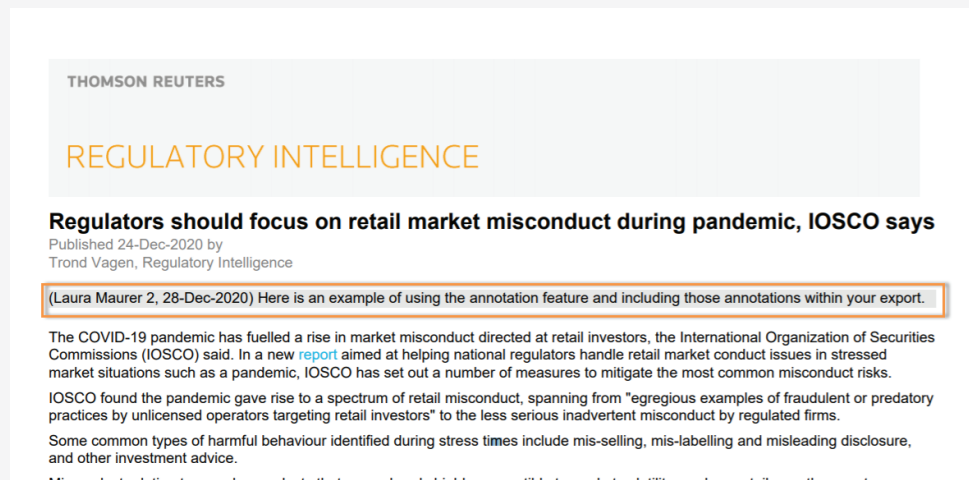
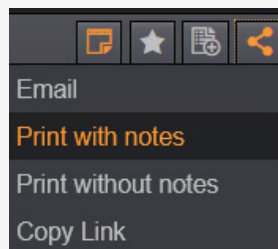
Please note that the recipient of the email will need to be a Regulatory Intelligence license holder in order to view the document in full.

A screenshot of a 'SHARE DOCUMENT' dialog box. The title bar shows the document title: 'UK REGULATOR ALLOWS SWAPS TRADING ON EU PLATFORMS TO AVOID DISRUPTION'. The dialog has two main sections: 'To Email' with a text input field containing the placeholder 'Enter email addresses, separated by commas or semicolons', and 'Message' with a larger text area. At the bottom left, there is a checkbox labeled 'Notes' which is highlighted with an orange border. At the bottom right, there is a character count '255 characters left' and two buttons: 'Cancel' and 'Share'.

### 3.6.4.2 Print

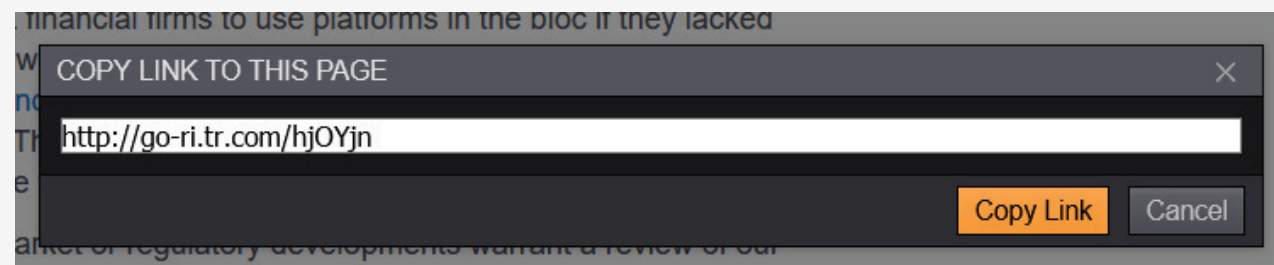
Selecting Print will enable you to save and print a document, as a Thomson Reuters branded PDF.

If you have annotations attached to the document you will have the option to export with or without your notes. To the right is a snapshot of a News and Analysis article that has been exported as a PDF document with annotations.



### 3.6.4.3 Copy Link

Select 'Copy Link' for an abbreviated link to the document in view. This can be added to internal documentation and shared with colleagues as appropriate. Please note that the link will only be accessible to those with access to Regulatory Intelligence.

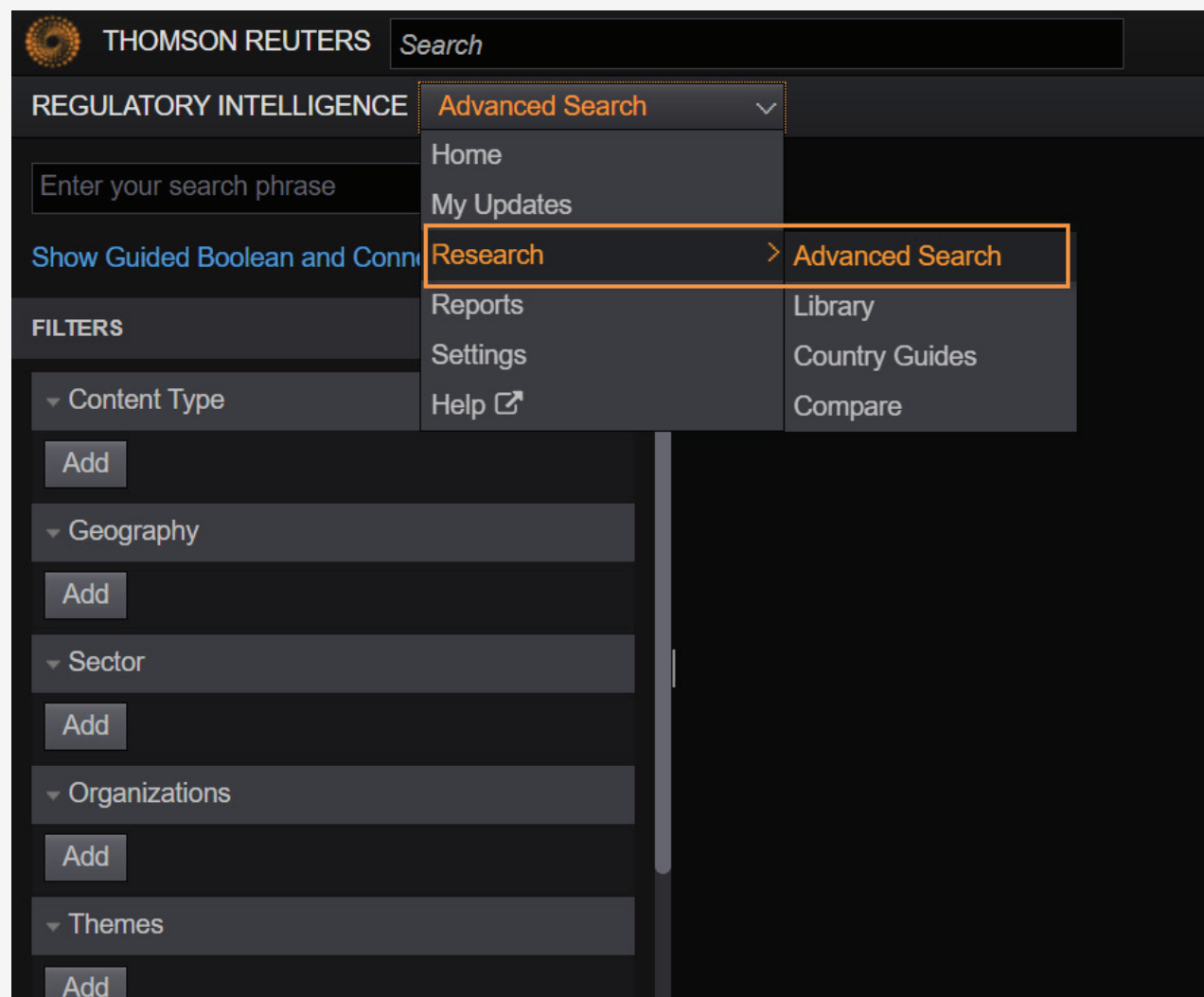


## Part 4: Research

The Advanced Search functionality allows you to run a search across the Regulatory Intelligence content database, refining and narrowing your results, and reducing the “noise” of extraneous information, to see only the information that is relevant to your organization.

Advanced search results based on search filters will, by default, be listed chronologically in descending order. If keywords are included in your search, then your results will be listed by relevance.

You can choose to resort your results. Refer to [Part 3.3 Search Results](#) for more information.





## 4.1 Advanced Search Parameters

The following parameters can be selected for an Advanced Search:

### Keyword:

Enter the relevant keywords for your search.

### Filters:

Use the Thomson Reuters proprietary taxonomy classifications. Select the Add button from any of the parent taxonomy filters to refine your search to a particular category or sub-node.

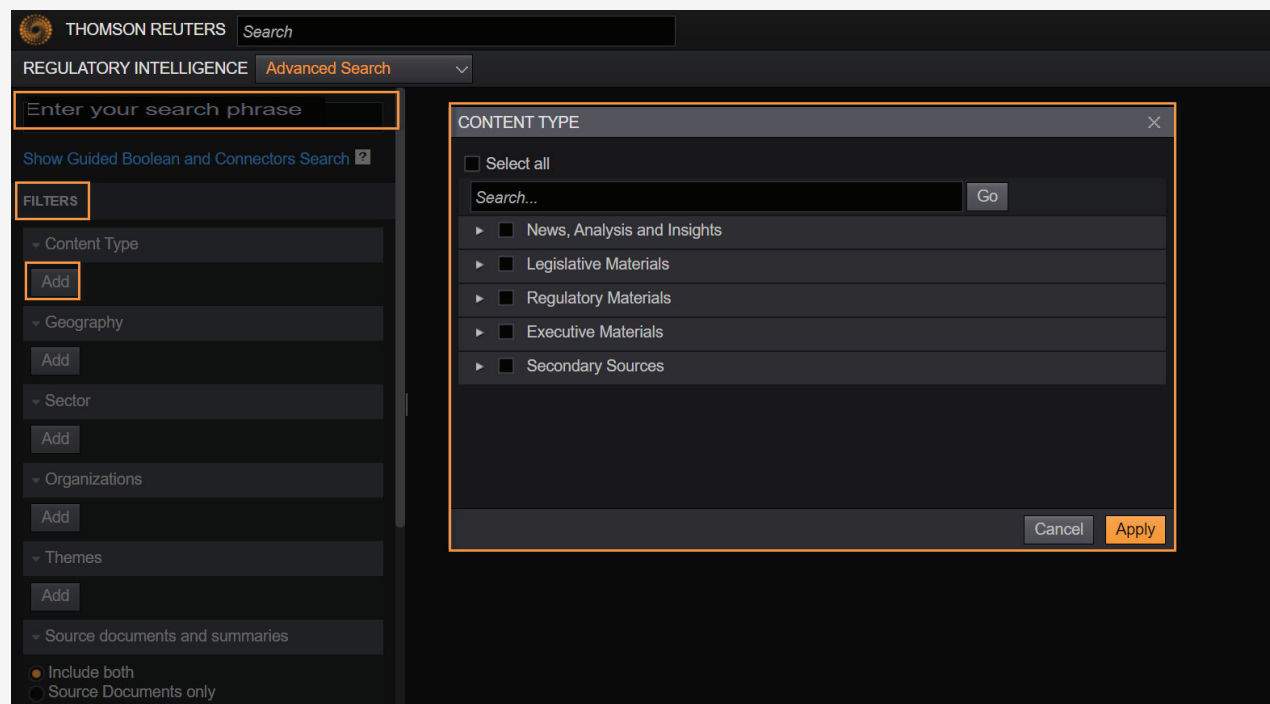
The selected parameters will be displayed in the field below the parent filter.

### Content Type:

Enables you to restrict your search to one of five major categories:

- News, Analysis, and Insights
- Legislative Materials
- Executive Materials
- Regulatory Materials
- Secondary Sources

You can also drill down further within each category (for example: Legislative Materials > Statutes). If you do not specify a content type, the system will search against all content types.



## 4.1 Advanced Search Parameters continued

### Geography:

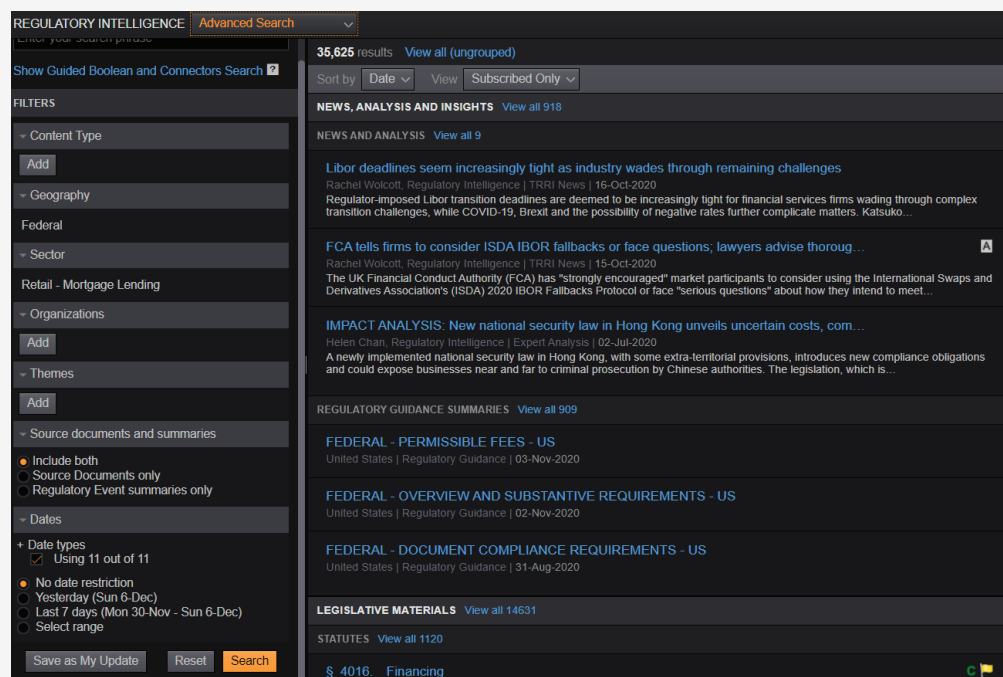
This allows you to narrow your search to one of seven regions:

- Europe
- Africa
- Asia
- North America
- Australia and Oceania
- Middle East
- Latin America and Caribbean

By choosing a region you will automatically select all countries in that specific region.

Alternatively, you can expand the region to display the list of underlying countries and states to make your selection at that level (for example, North America > United States of America > "Federal," or any of the underlying states).

If you do not specify any geographical region, the system will search against all regions and underlying countries, states, jurisdictions, etc., that are included in your subscription.



### Sector:

Allows you to narrow your search to specific sectors:

- Banking
- Insurance
- Securities and Commodities
- Healthcare
- Supplementary

You can also drill down further within certain sectors (for example, Banking > Retail-Mortgage Lending). If you do not specify a sector, the system will search against all sectors.

## 4.1 Advanced Search Parameters continued

### Organizations:

This lets you narrow your search for information published by specific organizations:

- Central banks
- Courts and tribunals
- Government departments/ministries
- International and regional bodies
- Legislative bodies
- Publishers
- Regulators
- SROs, exchanges, ATs and clearing agencies
- Trade associations

You can further drill down within each organization type (for example: Central banks > Federal Reserve). If you do not specify an organization, the system will search against all organizations.

### Themes:

Enables you to narrow your search to specific themes:

- Entity Establishment and Governance
- Internal Oversight
- Business Activities
- Business Conduct Standards
- Regulatory Structure and Oversight

You can also further refine your search within each general theme (for example: Business Activities > Offerings > Beneficial ownership). If you do not specify a theme, the system will search against all themes.

All of the above criteria work in an AND relationship. For example, if a user specifies the following criteria for search:

- Keyword: Reform
- Geography: Europe > United Kingdom
- Sector: Banking

Then the search results will contain the keyword “reform” and will be relevant to the “UK” and “Banking.”

When a keyword is specified, the system performs a Natural Language search to return results that have the keyword in the title or within the body of the text.

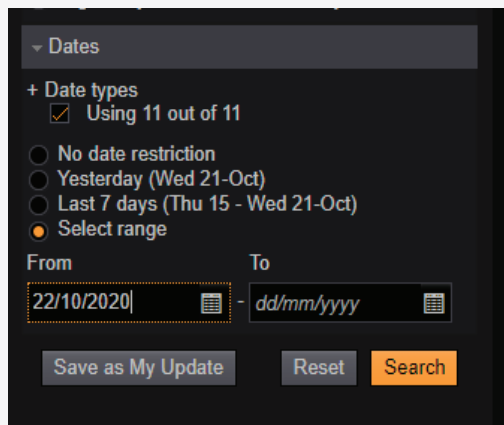
## 4.1 Advanced Search Parameters continued

### Date Filters:

Allows you to apply date restrictions to refine your search results.

### Date Types:

With regard to date restrictions, you can further narrow your search by selecting from 11 options of Date Types such as Effective Date, Source Publication Date, Filing Date, etc. This filter allows you to search for specific content based on the dates of regulatory events. Click on the Plus icon (next to Date types) to open the full list of selections.

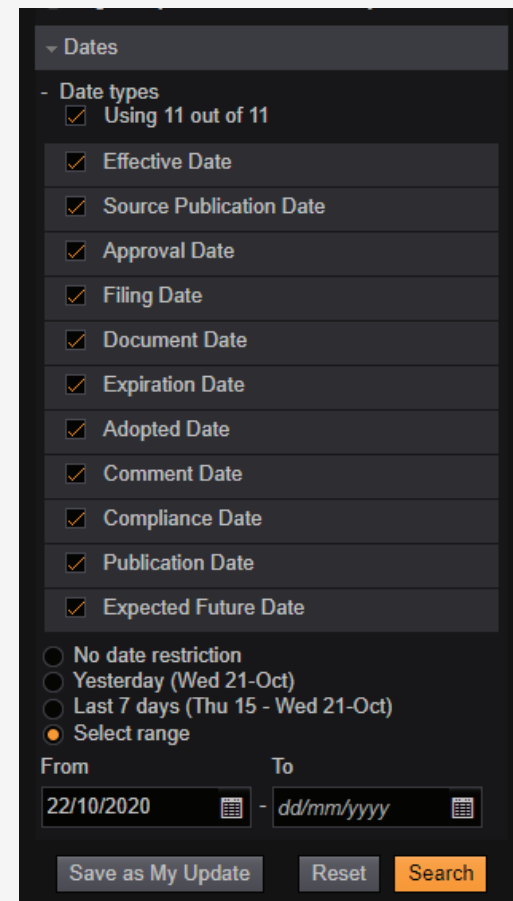


### Date selector:

**Yesterday** = selecting this date will cover the previous day only.

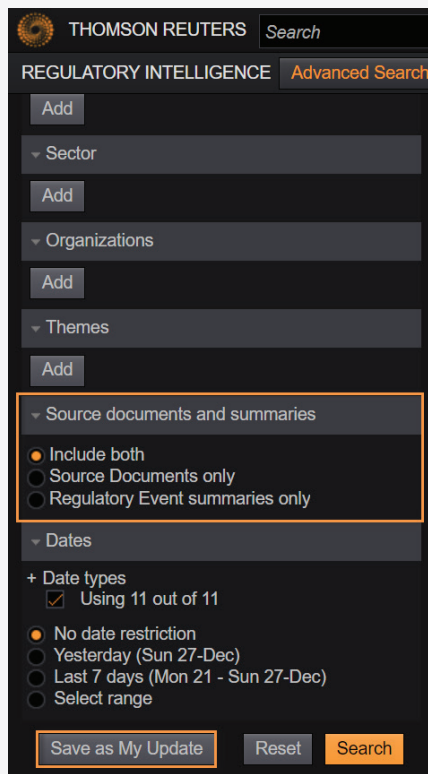
**Last 7 days** = e.g., if using the tool on Monday, the range will cover everything between Friday and Sunday of the previous week.

**"From", "To" Date** = a specific date range can be selected by entering or selecting a From and To date.



## 4.1 Advanced Search Parameters continued

The Summaries and Source documents filter allows you to include or exclude regulatory developments created by our editorial team, known as *Regulatory Event Summaries*. By default, your search will run against both Source Documents and Regulatory Event Summaries. Select Source Documents to view only the source regulatory and legislative rulebook material, as well as Thomson Reuters's proprietary News and Analysis.'



### Quick Tip:

Advanced Search criteria, as indicated above, can be saved as My Updates to keep receiving any new regulatory updates based on the criteria. Refer to [Part 5: My Updates](#) for further information.



## 4.1 Advanced Search Parameters continued

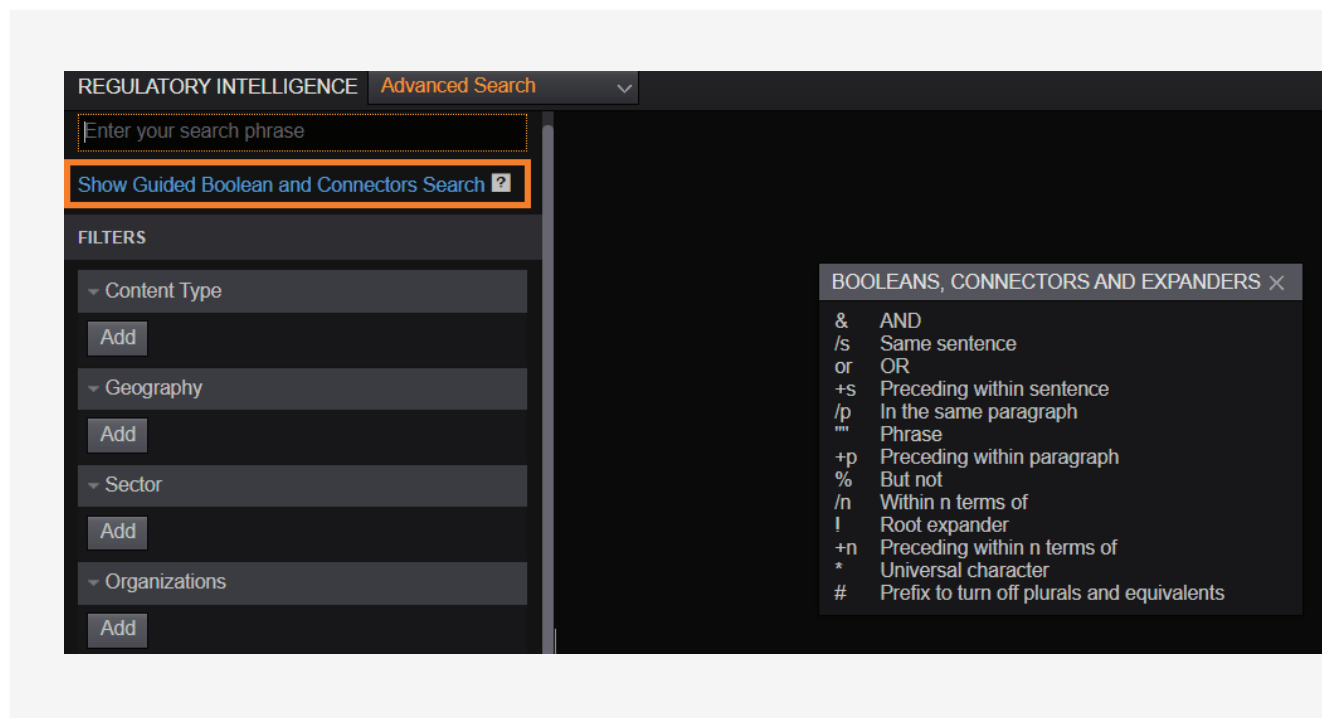
### Guided Boolean and Connectors Search:

Select **Show Guided Boolean and Connectors Search** for a template to assist you with a Boolean Terms and Connectors search. Select the “?” box next to the Guided Boolean and Connectors Search link to view a listing of the accepted Boolean connectors and expanders.

Boolean Terms and Connector examples are provided below:

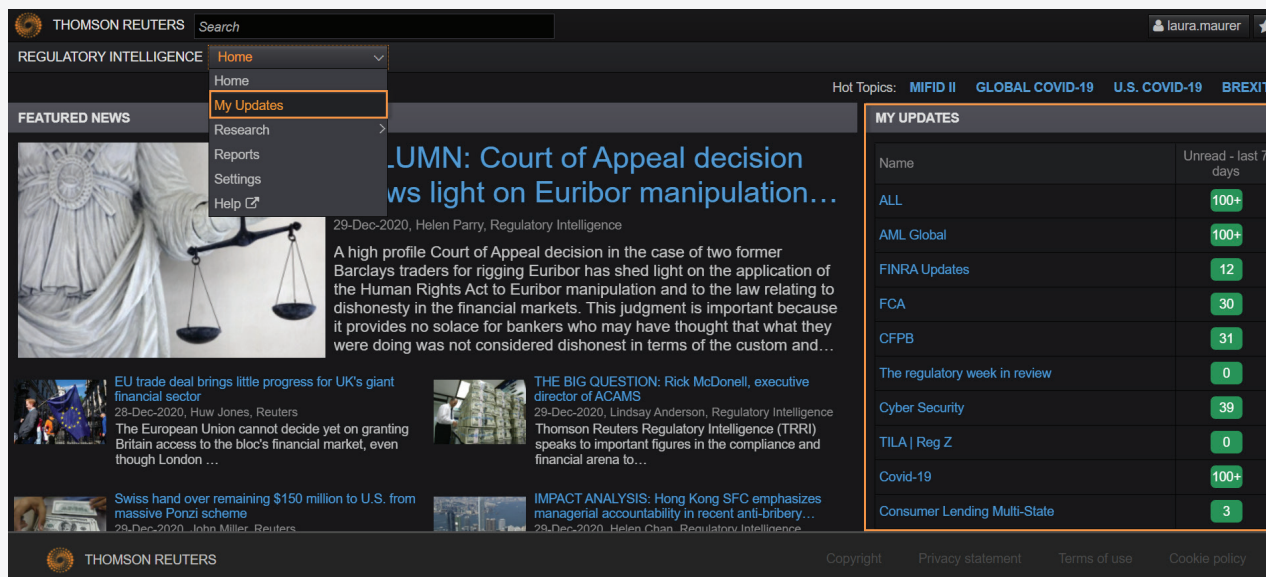
- **BANKING REFORM** will search for content with the words BANKING and, or REFORM. At a minimum, either term must appear in the document in order to appear in the results.
- **BANKING OR REFORM** will search for content with the words BANKING and, or REFORM. At a minimum, either term must appear in the document in order to appear in the results.
- **BANKING AND REFORM** will search for both words, and both words must appear somewhere within the document.
- **“BANKING REFORM”** will search for the terms that appear in the same way as shown within the quotation marks. It searches for the exact phrase *banking reform*.
- **BANKING % REFORM** will search for all content with the word BANKING, but the document must not contain the word REFORM, for it to appear in the results.

For additional Advanced Search tips with Boolean Terms and Connectors, please review the [Advanced Search Quick Start Guide](#).



## Part 5: My Updates

My Updates allows you to receive content updates based on specific criteria that you have selected. For example, you could create a My Update using a combination of the taxonomy/parameter filters (Geography, Sector, Content type, Organizations, and Themes) as well as Keywords. My Updates is updated as and when any regulatory development takes place or content is published by our editorial team that falls within the specified criteria. These updates could take place multiple times a day.



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. The top navigation bar includes the Thomson Reuters logo, a search bar, and a user profile for 'laura.maurer'. The main navigation menu on the left has 'My Updates' highlighted. The central content area features a featured news article titled '...UMN: Court of Appeal decision sheds light on Euribor manipulation...' dated 29-Dec-2020 by Helen Parry. Below this, there are several smaller news snippets. On the right, the 'MY UPDATES' section shows a table of unread updates for the last 7 days.

Name	Unread - last 7 days
ALL	100+
AML Global	100+
FINRA Updates	12
FCA	30
CFPB	31
The regulatory week in review	0
Cyber Security	39
TILA   Reg Z	0
Covid-19	100+
Consumer Lending Multi-State	3

## 5.1.1 Create My Updates

You can create a new My Updates profile by clicking on the Plus icon:

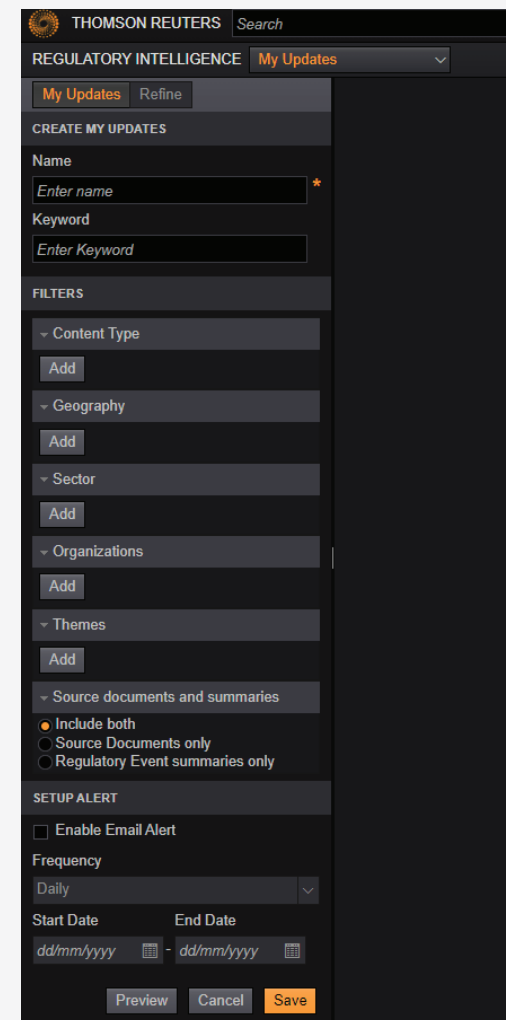
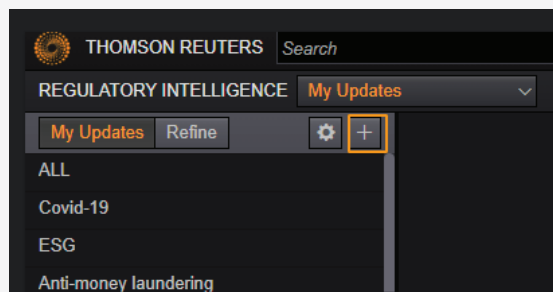
You will be prompted to create a name for the My Updates profile and then select your criteria using Keywords and/or the taxonomy parameters.

**Email Alert:** Once you have selected the My Updates criteria, you can choose to set up an Email alert. If you select the Enable Email Alert option, you can select the frequency (daily, weekly, monthly) as well an optional Start Date and End Date. If the Start Date and End Date are not filled in, the My Update Email will deliver indefinitely until modified within the profile settings.

You can then choose to Preview, Cancel (and Delete), or Save your My Updates profile.

Selecting the Preview option allows you to view a list of current and historically published documents associated with your My Updates selected criteria.

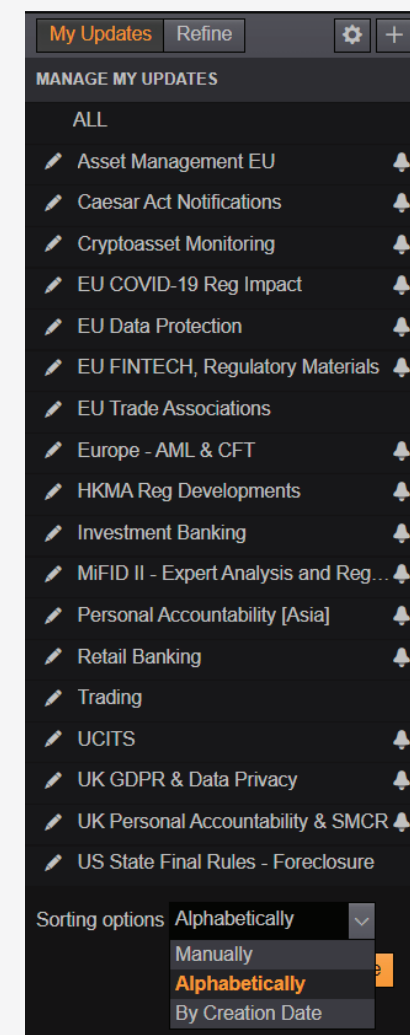
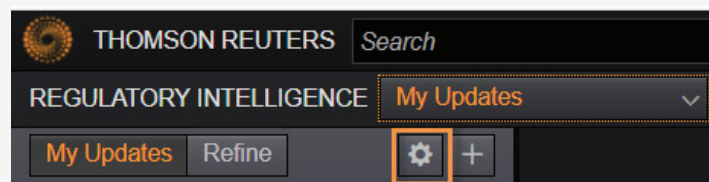
Once you have completed the selections for your My Updates profile, click on Save. To delete without saving, click Cancel.



## 5.1.2 Manage My Updates

You can select on the Options icon, located to the left of the Plus icon, to manage any of your My Updates. Once the Options icon has been selected, a Pencil icon will appear next to each of your My Updates. Selecting the Edit pen next to each title allows you to Edit, Duplicate, or Delete.

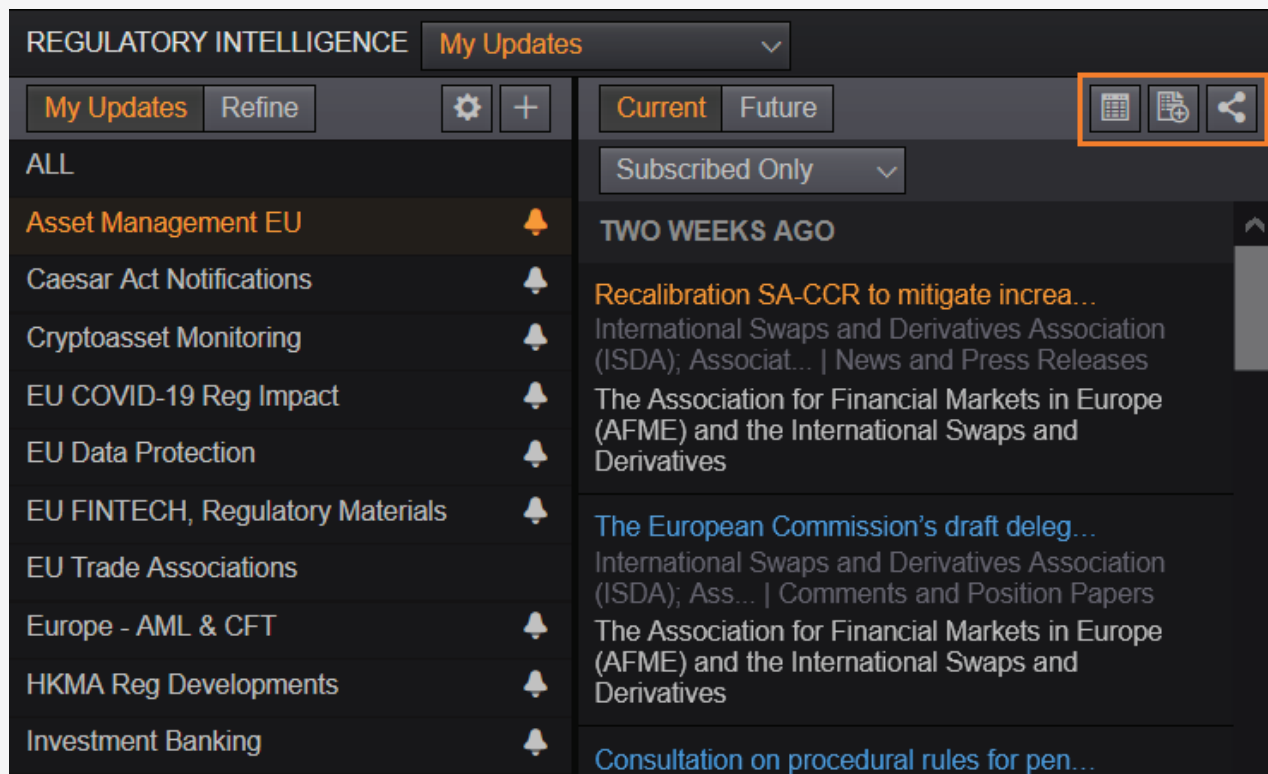
You can also sort your My Updates profile list using the *Sorting options* drop-down. Profiles are automatically listed by Creation date, but you can switch to an alphabetically listed view or select to manually edit and order your profile list.








## 5.1.3 My Updates, Additional Features

Once you have established the criteria for My Updates profiles, you can click on any of the My Updates titles to view associated articles and content. Documents are displayed in an inbox style chronologically, with the latest documents at the top. Select the calendar icon to change to a calendar view format instead.


Select the Add to Report icon to extract and move documents from the My Update profile in view to a Report, or select the Share icon to extract documents into a CSV or XLS document for download.





REGULATORY INTELLIGENCE **My Updates**


**My Updates** Refine   **Current** Future   


ALL **Subscribed Only**


**Asset Management EU** 


Caesar Act Notifications 


Cryptoasset Monitoring 


EU COVID-19 Reg Impact 


EU Data Protection 

EU FINTECH, Regulatory Materials 

EU Trade Associations 

Europe - AML & CFT 

HKMA Reg Developments 

Investment Banking 

**TWO WEEKS AGO**
















**Recalibration SA-CCR to mitigate increa...**  
International Swaps and Derivatives Association (ISDA); Associat... | News and Press Releases

**The Association for Financial Markets in Europe (AFME) and the International Swaps and Derivatives**

**The European Commission's draft deleg...**  
International Swaps and Derivatives Association (ISDA); Ass... | Comments and Position Papers

**The Association for Financial Markets in Europe (AFME) and the International Swaps and Derivatives**

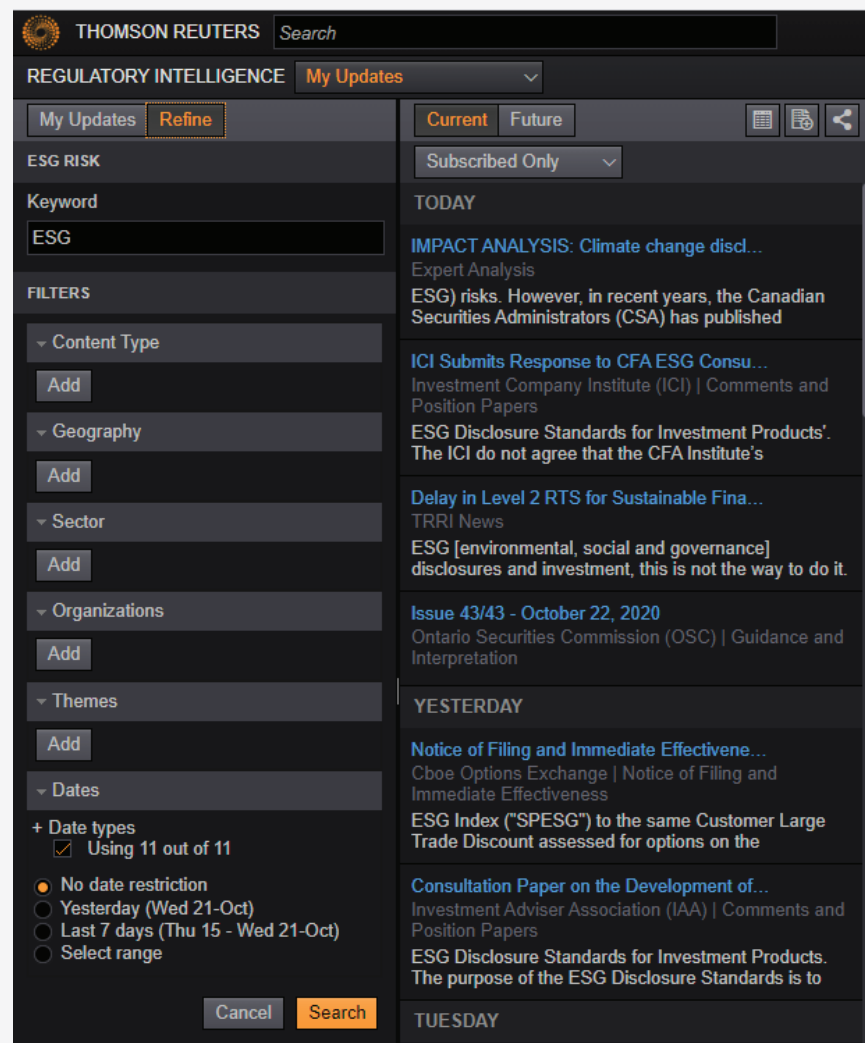
**Consultation on procedural rules for pen...**

ALL	Effective	Source Publication	Approval	Filing	Document	Expiration	Adopted	Comment	Compliance	Publication	Expected Future
<b>Asset Management EU</b> 	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday				
Caesar Act Notifications 	28 Dec	29	30	31	1 Jan	2	3				
Cryptoasset Monitoring 											
EU COVID-19 Reg Impact 											
EU Data Protection 											
EU FINTECH, Regulatory Materials 											
EU Trade Associations 	4	5	6	7	8	9	10				
Europe - AML & CFT 	ESMA advice on the criteria f	Guidelines on performance f									
HKMA Reg Developments 	ESMA fees for DRSP										
Investment Banking 											
MFID II - Expert Analysis and Regulat... 	11	12	13	14	15	16	17				
Personal Accountability (Asia) 											
Retail Banking 											
Trading 											
UCITS 	18	19	20	21	22	23	24				



## 5.1.4 Searching in My Updates

Select the Refine tab to perform a search against an existing My Update profile, but without making your search refinements or amendments permanent.



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. At the top, the 'THOMSON REUTERS' logo is on the left, and a 'Search' input field is on the right. Below this, the 'REGULATORY INTELLIGENCE' header is followed by a dropdown menu set to 'My Updates'. The interface is divided into two main sections: a left sidebar for filters and a right pane for search results.

**Left Sidebar (Filters):**

- My Updates** (selected) and **Refine** (highlighted) tabs are at the top.
- ESG RISK** section: A 'Keyword' field contains 'ESG'.
- FILTERS** section: Includes expandable categories for Content Type, Geography, Sector, Organizations, Themes, and Dates. Each category has an 'Add' button.
- Dates** section: Shows 'Date types' with a checked box for 'Using 11 out of 11'. Below are radio buttons for 'No date restriction' (selected), 'Yesterday (Wed 21-Oct)', 'Last 7 days (Thu 15 - Wed 21-Oct)', and 'Select range'.
- At the bottom of the sidebar are 'Cancel' and 'Search' buttons.

**Right Pane (Results):**

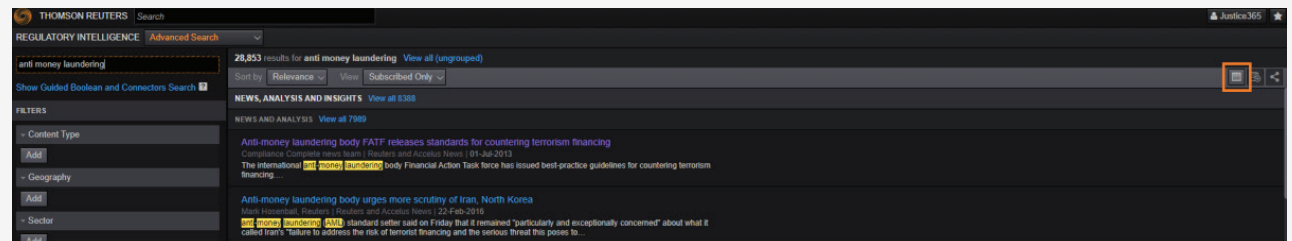
- At the top, there are tabs for 'Current' and 'Future', and a 'Subscribed Only' dropdown.
- The results are organized by date: **TODAY**, **YESTERDAY**, and **TUESDAY**.
- TODAY** results include:
  - IMPACT ANALYSIS: Climate change discl...** (Expert Analysis) - ESG risks, in recent years, the Canadian Securities Administrators (CSA) has published
  - ICI Submits Response to CFA ESG Consu...** (Investment Company Institute (ICI) | Comments and Position Papers) - ESG Disclosure Standards for Investment Products'. The ICI do not agree that the CFA Institute's
  - Delay in Level 2 RTS for Sustainable Fina...** (TRRI News) - ESG [environmental, social and governance] disclosures and investment, this is not the way to do it.
  - Issue 43/43 - October 22, 2020** (Ontario Securities Commission (OSC) | Guidance and Interpretation)
- YESTERDAY** results include:
  - Notice of Filing and Immediate Effectivene...** (Cboe Options Exchange | Notice of Filing and Immediate Effectiveness)
  - ESG Index ("SPESG") to the same Customer Large Trade Discount assessed for options on the**
  - Consultation Paper on the Development of...** (Investment Adviser Association (IAA) | Comments and Position Papers) - ESG Disclosure Standards for Investment Products. The purpose of the ESG Disclosure Standards is to

## Part 6: Calendar

Search results are automatically set to display in a list format. Selecting the Calendar icon allows you to view your search results in a calendar format instead, which provides you with a clear visual of upcoming regulatory events. You can access the Calendar feature from the results of a Global search, Advanced Search, or via My Updates.

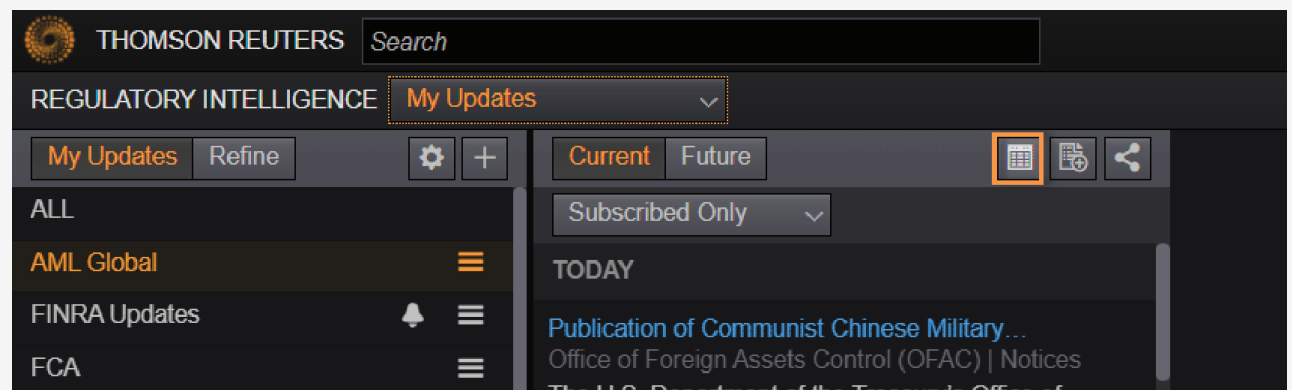
### 6.1 Calendar Access via Keyword Search and Advanced Search

Once you have carried out a search, you can select the Calendar icon from the top-right corner of your result list page to view the regulatory events based on your search criteria.



### 6.2 Calendar Access via My Updates

Select the relevant My Update profile from the left-hand toolbar and then select the Calendar icon to view the associated regulatory events based on the criteria set in your My Update.



### 6.3.1 Color Coding

Move the mouse over any of the calendar events to view the geography(ies), organization(s), and content type(s) associated with a specific event. Click on the event to view the event details in full.

Subscribed Only		December 2020		Today		Week		Month			
Effective	Source Publication	Approval	Filing	Document	Expiration	Adopted	Comment	Compliance	Publication	Expected Future	
Monday		Tuesday		Wednesday		Thursday		Friday		Saturday	
30 Nov	1 Dec	2	3	4	5	6					
The Supervisor of Banks ha	Survey on enhancing cross-	AML/AIF Ministerial Adviso	4 26 9 8 7 - Closing the Exa	BPInsights: December 05 2							
Circular to Licensed Corpor	Industry Circular - AML CFT	Updated workbooks and ins	4 26 9 10 8 3 - Initial Contac	9 1 3 1 Statutes within the J							
Preamble	Newsletter Continuing Edu	Issue 43/49 - December 03	4 26 8 8 - Trade or Busines	9 5 3 2 1 5 - Gaming (08-18							
AUSTRAC launches insight	HOUSE REPORT NO 116-	Inter-Ministerial Consultatio	4 26 12 6 5 - Money Laund	1 1 16 3 5 2 1 - Bank Secre							
► See all		► See all	► See all	21 3 8 16 2 - Role of Indian							
7	8	9	10	11	12	13					
reg. 2 Interpretation	S.RES. 797	Supervisory issues and info	Preamble	BPI Applauds Passage of L	BPInsights: December 12 2	Guidance to the AIFC Capti...					
Preamble	BERN BANCOSHARES, INC...	FIU/ACAMS Conference 20...	Public notice financial actio	Agency Information Collecti			Amendments No. 3 to the A...				
reg. 4 Purposes	Amendment of the AML Act	Circular Letter 20/19 of the	Analysis	BAFT and BPI Joint Comm...							
Consultation Paper on the L...	FINTRAC examinations (Up...	TREASURY SANCTIONS...	Financial action task force i...	Opinion of the European Ba							
► See all	► See all	► See all	► See all	► See all							
14	15	16	17	18	19	20					
reg. 5 Power to designate p...	2020 MI REG TEXT 565315	Preamble	ANTI-MONEY LAUNDERIN	Hong Kong Customs suspe	Draft Amendments to "Regu...						
reg. 2 Interpretation	Report on the functioning o	Preamble	Wyoming Abandoned Mine	AML/CFT Guidance issued							
reg. 4 Purposes	Guidance to the AIFC Capti	Preamble	Private Sector Letter - Ame	Digital Identity Legislation c							
reg. 2 Interpretation	Amendments No. 3 to the A	Annual Report 2020	Information note 20/13 relati	Imposition of Administrative							
► See all	► See all	► See all	► See all	► See all							
21	22	23	24	25	26	27					
BCP presents the progress i	Consolidated assessment r	2020 WV REG TEXT 55743	Imposition of Administrative	Banking licence of Payment...	2020 PA REG TEXT 57304						
The guidelines for the Anti-	Bahamas delisted from Fina	Agency Information Collecti	FIU Mass media Campaign								
MNB Recommendation No...	Agency Information Collecti	Program for Allocation of R...									
International Cooperation -	Follow-up report to Sri Lank	The Counter-Terrorism (Inte									
► See all	► See all	► See all									
28	29	30	31	1 Jan	2	3					
Prospective Grant of an Exc...	Financial Crimes Enforcem...	Elvira Nabiullina' Speech -	para. 1								
Self-Regulatory Organizatio	Preamble	Progress was presented at t	reg. 35 Application of Chapt...								
Progress was presented at t...	Notice of Substituted Compl	Measures for the Supervisio	para. 1								
	CH. 1 - PART 2 (SECTION...	\$ 1.36 Systems exempt in...	Arrangement of SI								
	CH. 17 - DRUGS AND BIO	► See all	► See all								

## 6.3.2 Date Type Definitions

Date type definitions are as per the image shown.

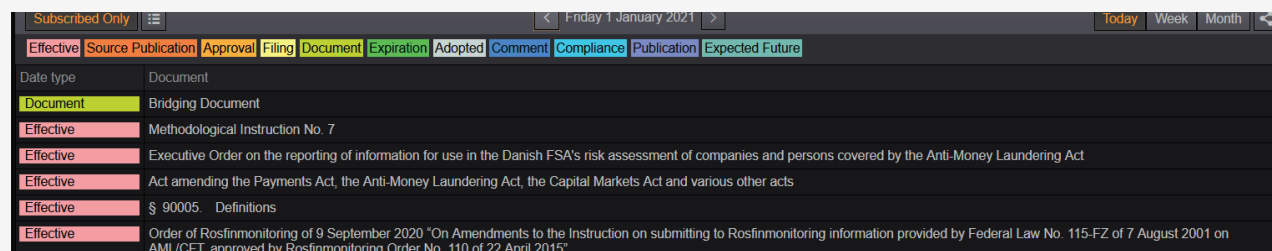
The table below provides more information about the types of dates available and their definitions:

DATE NAME	DEFINITIONS
Effective Date	When a new rule or change takes effect.
Source Publication Date	When the source document was published by the source regulator/organization.
Approval Date	When the proposed rule or amendment is approved.
Filing Date	When an SRO (State Regulatory Organization) submits the rule for filing with SEC.
Document Date	When the regulatory organization created the document.
Expiration Date	The end date of an interim or temporary rule.
Adopted Date	When a rule or amendment was adopted by the regulator.
Comment Date	The deadline for comments in a rule-making initiative.
Compliance Date	When the industry must comply with a rule change.
Publication Date	When Thomson Reuters published a document – like a news, analysis, or regulatory event.
Expected Future Date	When a regulatory event is expected to happen.

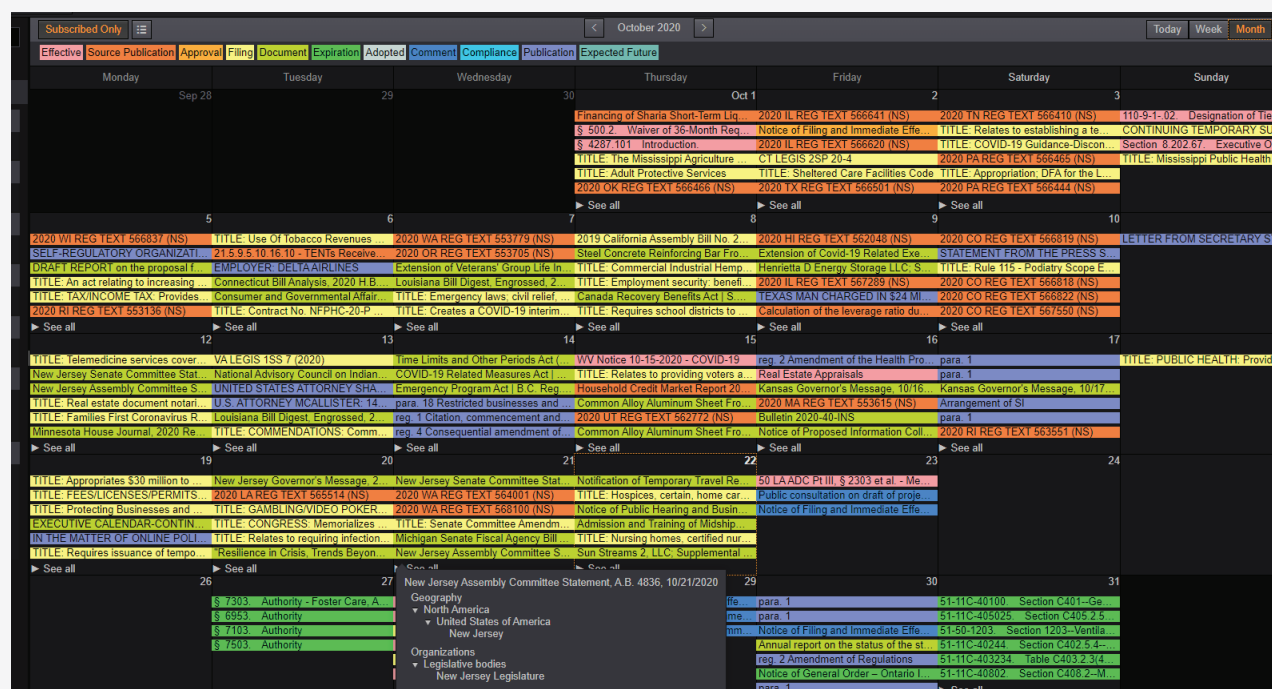
## 6.3.3 Filter by Today, Week, or Month

The Calendar view can be formatted to display results by Today, Week, or Month view.

The Today view will allow you to view the events of the current day and will highlight the Data Type and Document title.



Date type	Document
Document	Bridging Document
Effective	Methodological Instruction No. 7
Effective	Executive Order on the reporting of information for use in the Danish FSA's risk assessment of companies and persons covered by the Anti-Money Laundering Act
Effective	Act amending the Payments Act, the Anti-Money Laundering Act, the Capital Markets Act and various other acts
Effective	§ 90005. Definitions
Effective	Order of Rosfinmonitoring of 9 September 2020 "On Amendments to the Instruction on submitting to Rosfinmonitoring information provided by Federal Law No. 115-FZ of 7 August 2001 on AML/CFT, approved by Rosfinmonitoring Order No. 110 of 22 April 2015"

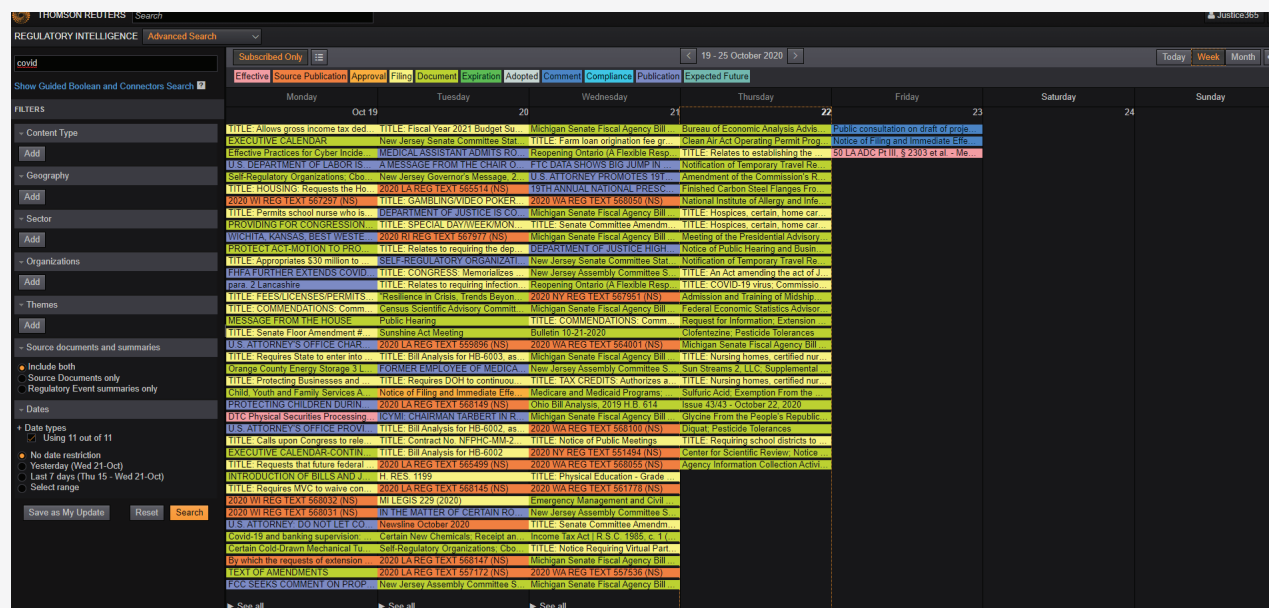


Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Sep 28	29	30	Oct 1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

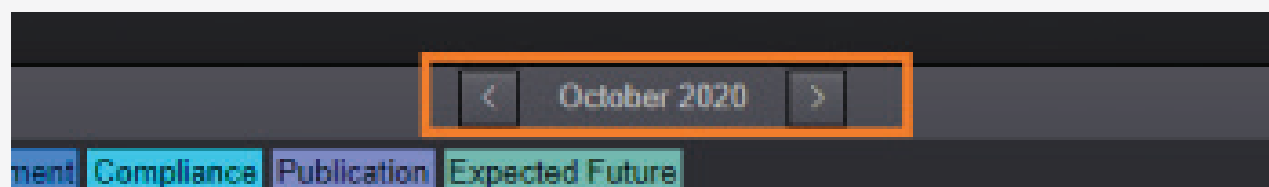
## 6.3.3 Filter by Today, Week, or Month continued

The Week and Month view will show you the events for the current week or month.

Use the forward and backward navigation arrows to move to a previous or future day, week, or month.



The screenshot displays the Thomson Reuters Regulatory Intelligence interface. On the left, there is a sidebar with filters for Content Type, Geography, Sector, Organizations, Themes, Source documents and summaries, and Date types. The main area shows a calendar view for October 2020, with events listed for each day. The events are categorized by date and include titles and links to the full document. The interface also includes a search bar at the top and a navigation bar at the bottom.



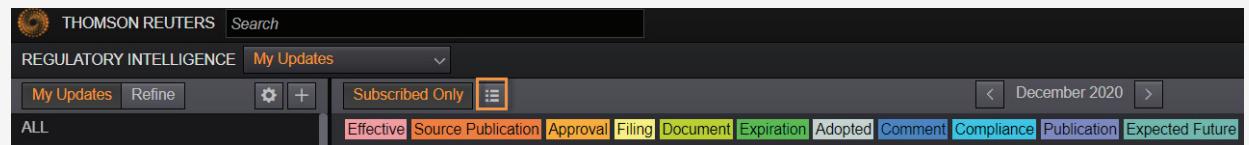
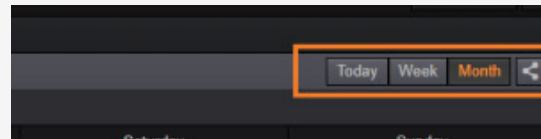
This close-up screenshot focuses on the navigation bar at the bottom of the interface. It shows three buttons: 'Compliance', 'Publication', and 'Expected Future'. The 'Expected Future' button is highlighted with an orange box. Above these buttons, there is a date selector showing 'October 2020' with forward and backward arrows.



## 6.3.4 Calendar Print and Export

You can select the Share icon at the top right-hand corner of the calendar to download a PDF of the calendar details.

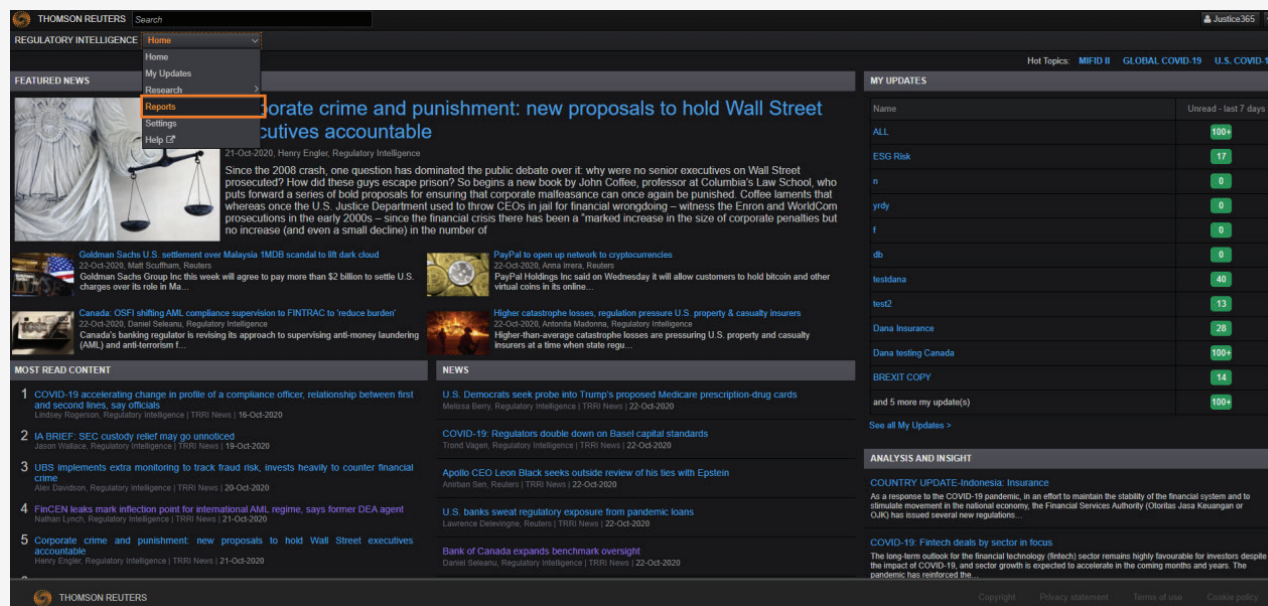
**Calendar Quick Tip:** From the Calendar view, you can easily toggle back to your My Update profile or list of search results by selecting the List View icon.



## Part 7: Reports

Thomson Reuters Regulatory Intelligence Reports are a great way to collate and consolidate material from across the Regulatory Intelligence platform. The reports can be exported and shared in either an email, PDF, CSV, or XLS format.

From the Homepage drop-down menu, select Reports to view existing reports or to create a new report.



The screenshot shows the Thomson Reuters Regulatory Intelligence homepage. The top navigation bar includes a search bar and a dropdown menu with options: Home, My Updates, Research, Reports (highlighted), Settings, and Help. The main content area features a large article titled "Corporate crime and punishment: new proposals to hold Wall Street executives accountable" with a sub-headline "Corporate crime and punishment: new proposals to hold Wall Street executives accountable". Below this, there are several smaller news snippets, including "Goldman Sachs U.S. settlement over Malaysia 1MDB scandal to hit dark cloud" and "Canada: OSFI shifting AML compliance supervision to FINTRAC to 'reduce burden'". The right sidebar contains a "MY UPDATES" section with a table of updates and an "ANALYSIS AND INSIGHT" section with a "COUNTRY UPDATE-Indonesia: Insurance" article.

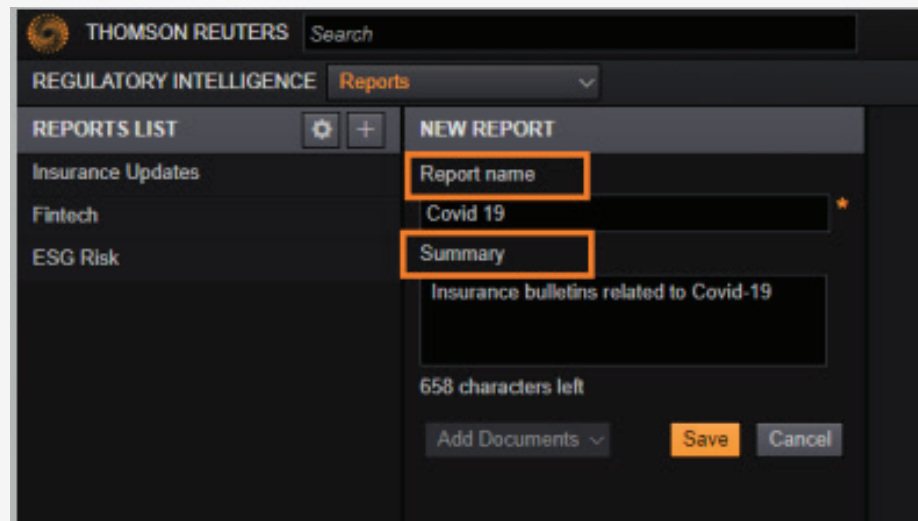
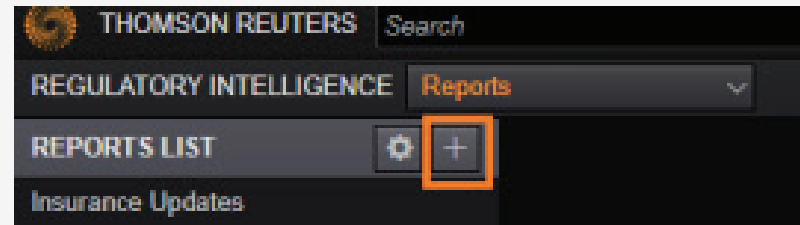
Name	Unread - last 7 days
ALL	100+
ESG Risk	17
n	0
nydy	0
f	0
db	0
testdana	40
test2	13
Dana Insurance	28
Dana testing Canada	100+
BREXIT COPY	14
and 5 more my update(s)	100+

## 7.1 Create a New Report

Click on the Plus icon from your Reports List to create a new report.

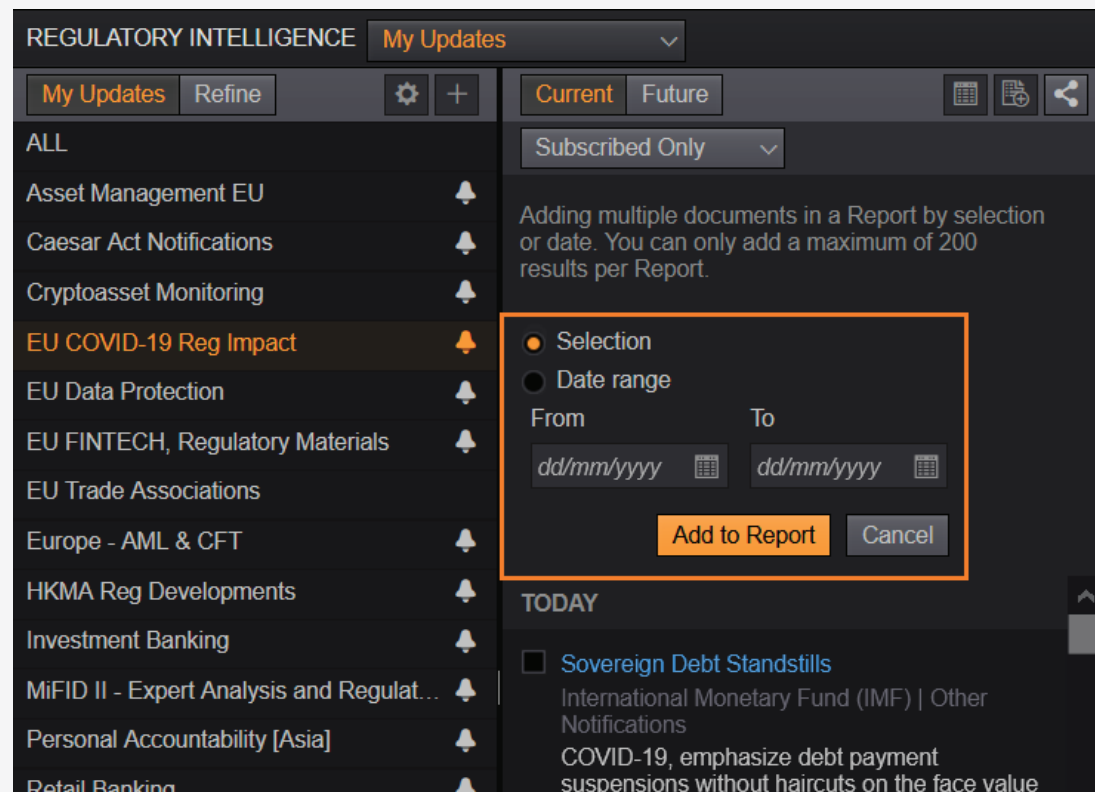
You will be prompted to create a Report Name (required) and a Summary (optional).

Hit Save to save the report.



## 7.1 Create a New Report continued

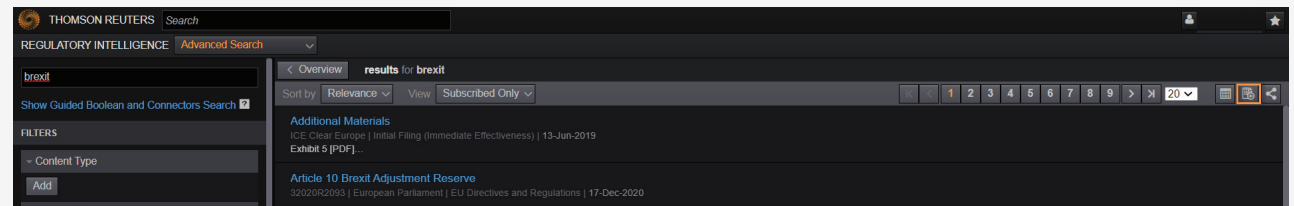
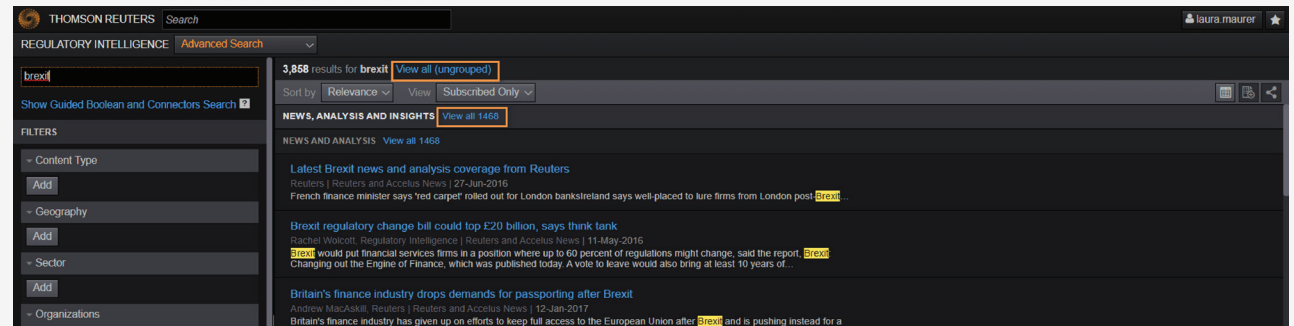
Once your report is saved you will have the option to Add Documents from any of your existing My Updates profiles or run a new advanced search.



## 7.1.1 Adding Documents: From Search

If you choose to add documents “From Search,” you will be redirected to the Advanced Search page where you can enter in your search criteria.

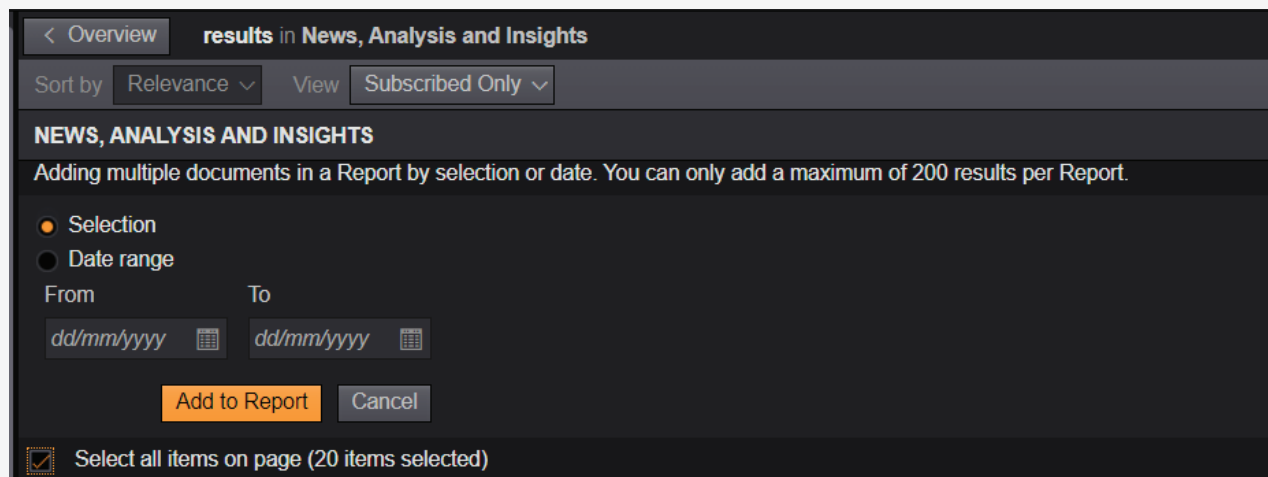
After you have run your search, you will need to select either ‘View all ungrouped’ or ‘View All’ next to a Content Type line in order to make the Add to Report icon accessible.



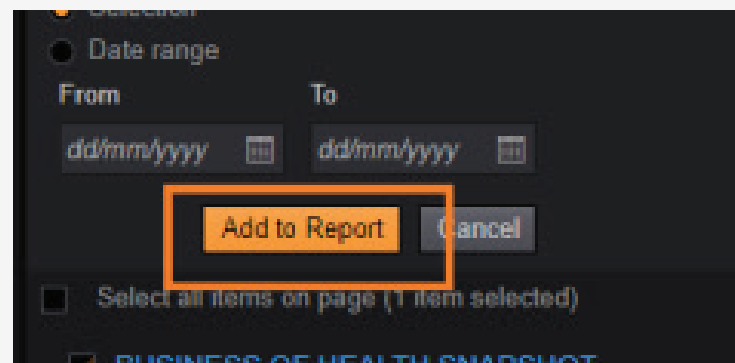
## 7.1.1 Adding Documents: From Search continued

Once you select Add to Report, you can then select specific documents you wish to add to your report either by manually selecting documents via the Selection option, or you can extract documents by date range using the Date range option. Alternatively, you can select to move all the documents on a page to your report by checking the Select all items on page option.

To move the selected documents into your report, select Add to Report.



The screenshot shows a dark-themed dialog box titled "results in News, Analysis and Insights". At the top, there are tabs for "< Overview" and "results". Below the tabs, there are dropdown menus for "Sort by" (set to "Relevance") and "View" (set to "Subscribed Only"). The main heading is "NEWS, ANALYSIS AND INSIGHTS". Below this, a message states: "Adding multiple documents in a Report by selection or date. You can only add a maximum of 200 results per Report." There are two radio button options: "Selection" (which is selected) and "Date range". Under "Date range", there are "From" and "To" date input fields, both showing "dd/mm/yyyy" with calendar icons. At the bottom, there are two buttons: "Add to Report" (highlighted in orange) and "Cancel". At the very bottom, there is a checkbox labeled "Select all items on page (20 items selected)" which is checked.



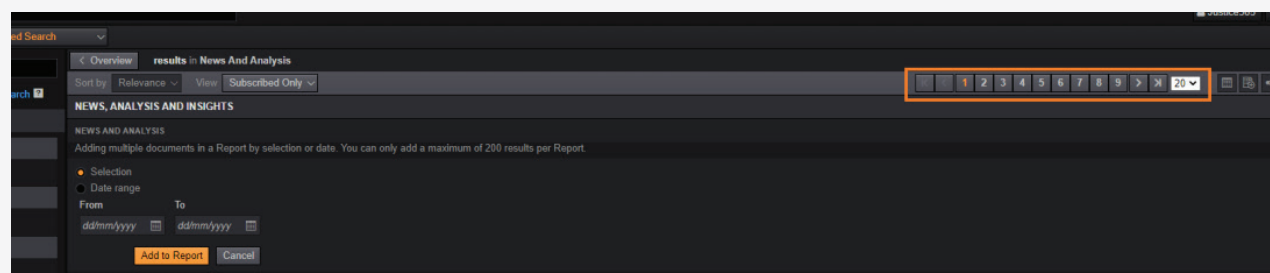
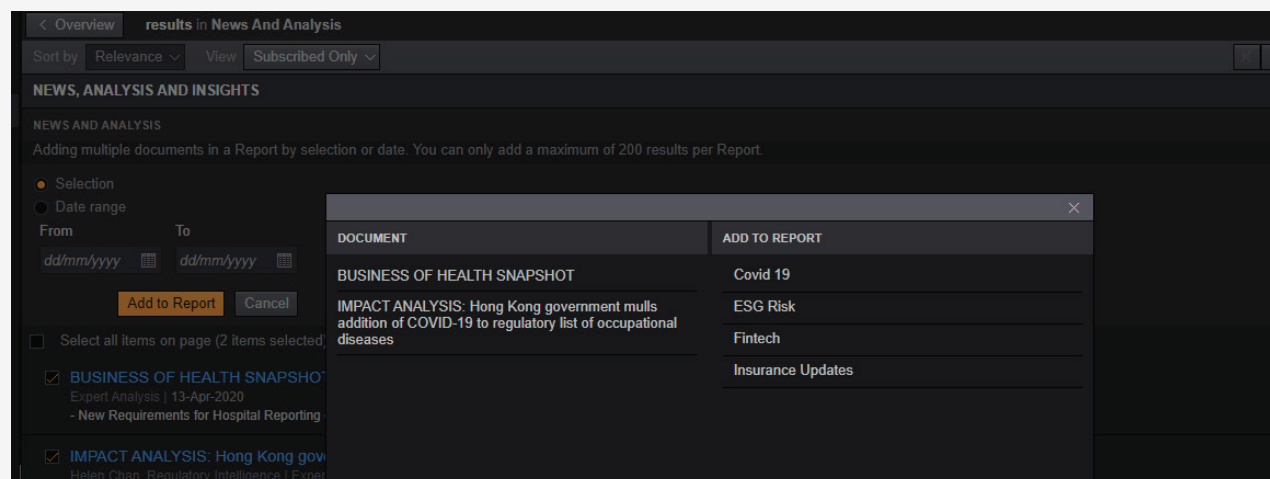
This is a close-up screenshot of the "Add to Report" dialog box. It shows the "Selection" radio button selected, and the "Date range" option with its "From" and "To" date fields. The "Add to Report" button is highlighted with an orange rectangle. Below it, the "Select all items on page (1 item selected)" checkbox is visible and unchecked. At the bottom, a snippet of a document title "BUSINESS OF HEALTH SNAPSHOT" is visible.



## 7.1.1 Adding Documents: From Search continued

Select the name of the report under the Add to Report column, then select Add.

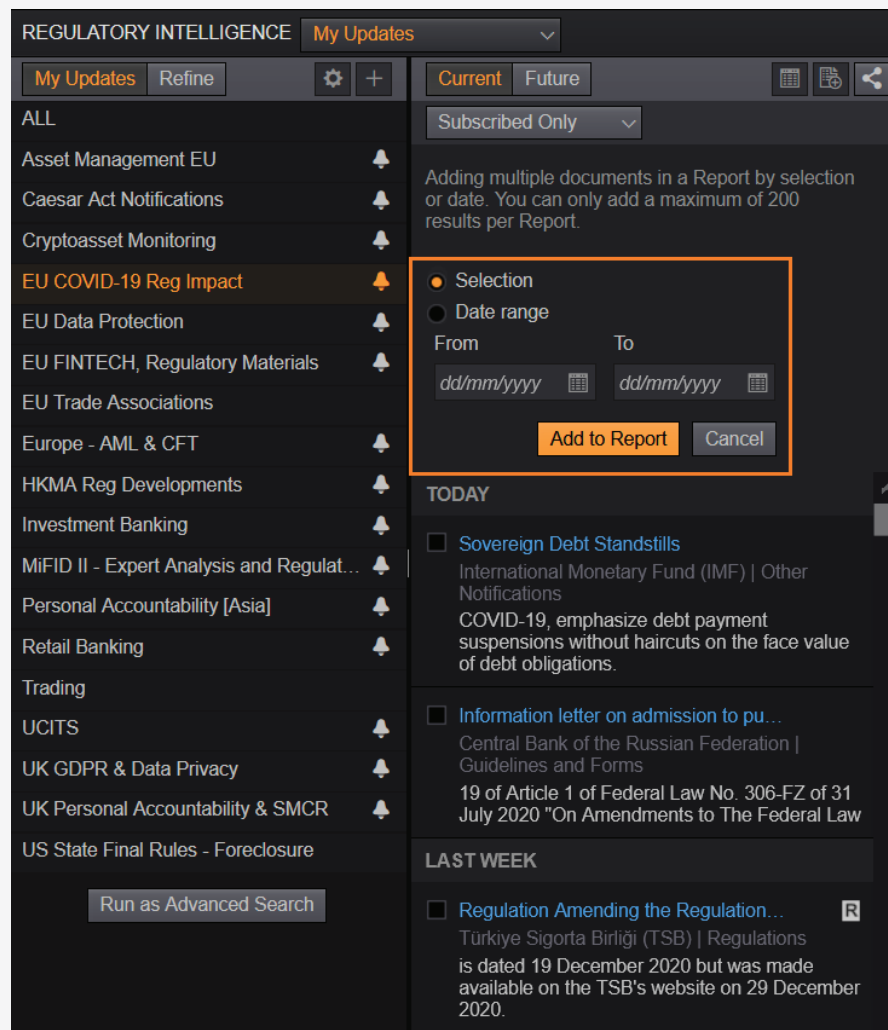
Results are broken down to 20 items per page so you will need to repeat the process of selecting and adding documents to a report by returning to the search results page and using the page navigation toolbar at the top right to locate and select additional documents.



## 7.1.2 Adding Documents: From My Updates

If you choose to add documents From My Updates, you will be redirected to your My Updates list. Select the relevant My Update profile from the left-hand toolbar, and then select the documents you wish to add to your report. You have the option to select individual documents by using the Selection option, or by date by selecting the Date range option.

Once you have made your selection, hit the Add to Report button. You will be returned to your reports list and the report you are managing will be loaded into view.



REGULATORY INTELLIGENCE **My Updates**

**My Updates** Refine [Settings] [Plus]

ALL

- Asset Management EU
- Caesar Act Notifications
- Cryptoasset Monitoring
- EU COVID-19 Reg Impact**
- EU Data Protection
- EU FINTECH, Regulatory Materials
- EU Trade Associations
- Europe - AML & CFT
- HKMA Reg Developments
- Investment Banking
- MIFID II - Expert Analysis and Regulat...
- Personal Accountability [Asia]
- Retail Banking
- Trading
- UCITS
- UK GDPR & Data Privacy
- UK Personal Accountability & SMCR
- US State Final Rules - Foreclosure

Run as Advanced Search

Current Future [Calendar] [Filter] [Share]

Subscribed Only

Adding multiple documents in a Report by selection or date. You can only add a maximum of 200 results per Report.

☒ Selection

☐ Date range

From  To

**Add to Report** Cancel

**TODAY**

- ☐ **Sovereign Debt Standstills**  
International Monetary Fund (IMF) | Other Notifications  
COVID-19, emphasize debt payment suspensions without haircuts on the face value of debt obligations.
- ☐ **Information letter on admission to pu...**  
Central Bank of the Russian Federation | Guidelines and Forms  
19 of Article 1 of Federal Law No. 306-FZ of 31 July 2020 "On Amendments to The Federal Law

**LAST WEEK**

- ☐ **Regulation Amending the Regulation...** **R**  
Türkiye Sigorta Birliği (TSB) | Regulations  
is dated 19 December 2020 but was made available on the TSB's website on 29 December 2020.

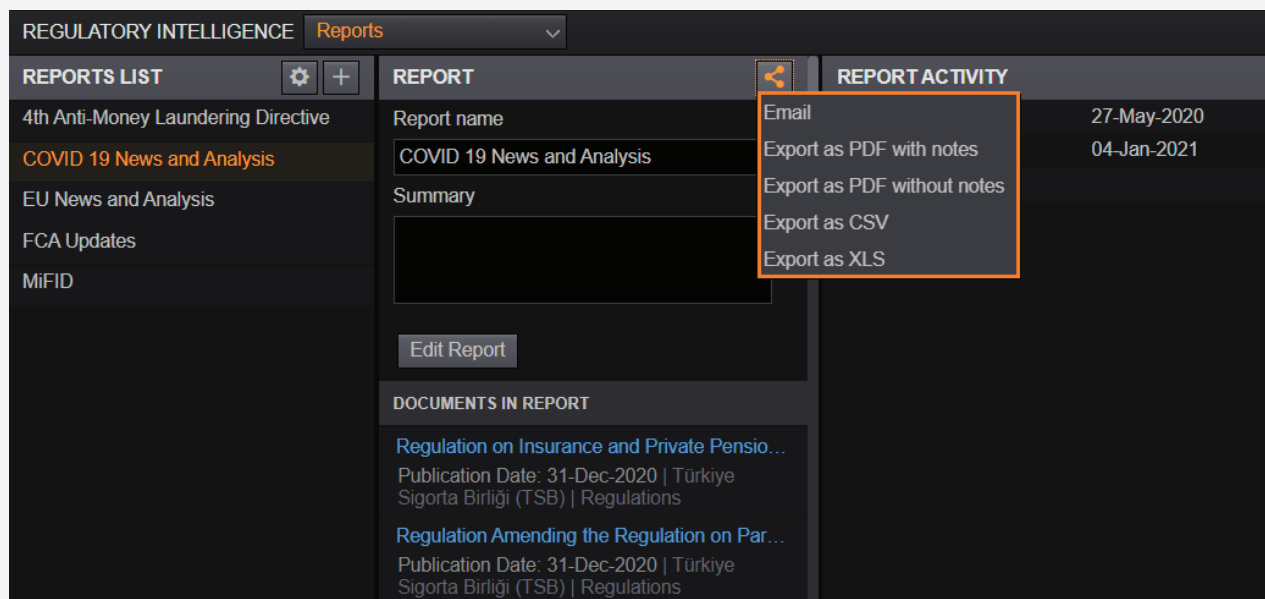
## 7.2 Share Reports

Reports can be shared by selecting the Share icon from the report in view.

You have the option to share your report by Email, PDF, CSV, or XLS.

Export as XLS:

For users who have access to the reporting feature, we have included a preformatted spreadsheet option. By selecting Export as XLS, you can download a preformatted spreadsheet with the width and height of the cells formatted to the amount of text available. The report also includes functional hyperlinks to documents so you can easily view the full document in the application.



The screenshot displays the 'REGULATORY INTELLIGENCE Reports' interface. On the left is a 'REPORTS LIST' with items: '4th Anti-Money Laundering Directive', 'COVID 19 News and Analysis' (highlighted), 'EU News and Analysis', 'FCA Updates', and 'MiFID'. The main area shows the 'REPORT' details for 'COVID 19 News and Analysis', including a 'Report name' field, a 'Summary' section, and an 'Edit Report' button. A share menu is open, showing options: 'Email', 'Export as PDF with notes', 'Export as PDF without notes', 'Export as CSV', and 'Export as XLS'. The 'REPORT ACTIVITY' table on the right shows two entries: one dated '27-May-2020' and another dated '04-Jan-2021'. Below the report details is a 'DOCUMENTS IN REPORT' section with two entries, each showing a title, publication date, and source.

REPORTS LIST	REPORT	REPORT ACTIVITY
4th Anti-Money Laundering Directive	Report name	Email 27-May-2020
COVID 19 News and Analysis	COVID 19 News and Analysis	Export as PDF with notes 04-Jan-2021
EU News and Analysis	Summary	Export as PDF without notes
FCA Updates		Export as CSV
MiFID		Export as XLS

DOCUMENTS IN REPORT

- Regulation on Insurance and Private Pensio...  
Publication Date: 31-Dec-2020 | Türkiye Sigorta Birliği (TSB) | Regulations
- Regulation Amending the Regulation on Par...  
Publication Date: 31-Dec-2020 | Türkiye Sigorta Birliği (TSB) | Regulations

## 7.2 Share Reports continued

If there are documents in your report with annotations attached, you will have the option to export your report as a PDF with or without your annotations.

You will also have the option to email your report with or without your annotations.

Annotations cannot be exported in the CSV.



REGULATORY INTELLIGENCE Reports

REPORTS LIST

- 4th Anti-Money Laundering Directive
- COVID 19 News and Analysis
- FCA Updates
- MiFID

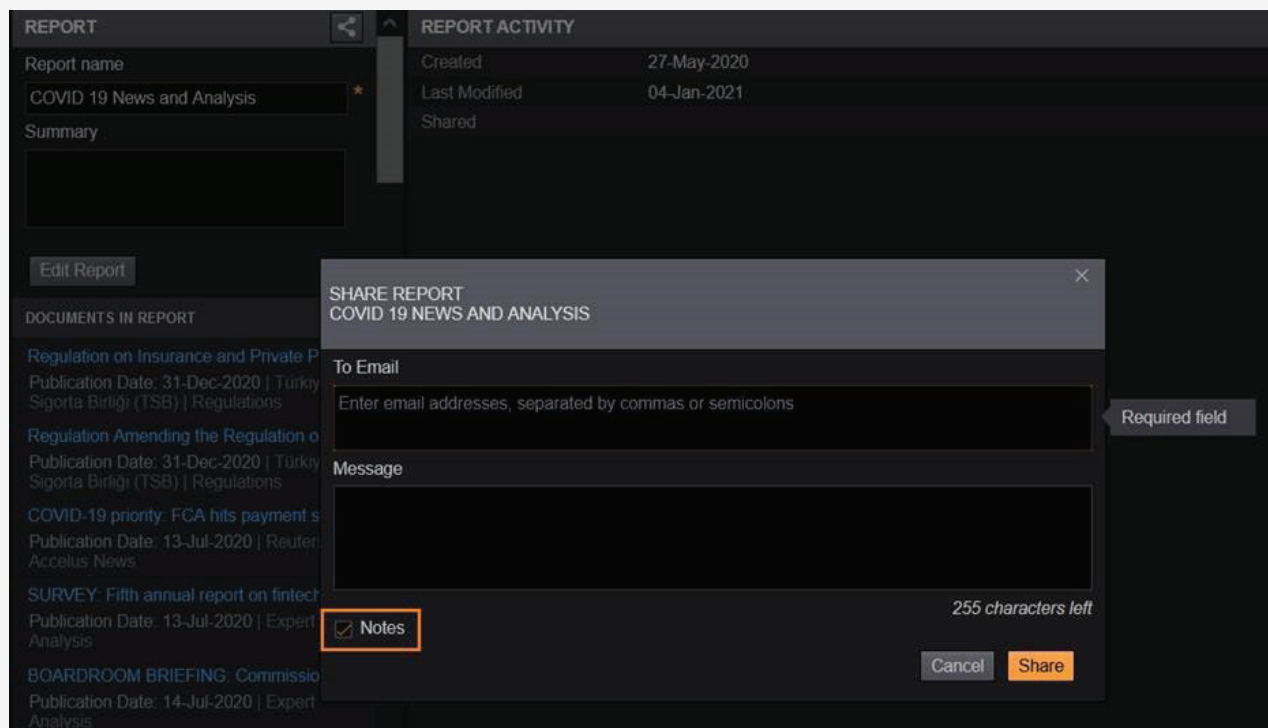
REPORT

Report name: COVID 19 News and Analysis

Summary

REPORT ACTIVITY

- Email
- Export as PDF with notes
- Export as PDF without notes
- Export as CSV
- Export as XLS



REPORT

Report name: COVID 19 News and Analysis

Summary

DOCUMENTS IN REPORT

- Regulation on Insurance and Private P  
Publication Date: 31-Dec-2020 | Turkey  
Sigorta Birligi (TSB) | Regulations
- Regulation Amending the Regulation o  
Publication Date: 31-Dec-2020 | Turkey  
Sigorta Birligi (TSB) | Regulations
- COVID-19 priority: FCA hits payment s  
Publication Date: 13-Jul-2020 | Reuter  
Accelus News
- SURVEY: Fifth annual report on fintech  
Publication Date: 13-Jul-2020 | Expert  
Analysis
- BOARDROOM BRIEFING: Commissio  
Publication Date: 14-Jul-2020 | Expert  
Analysis

SHARE REPORT  
COVID 19 NEWS AND ANALYSIS

To Email

Enter email addresses, separated by commas or semicolons

Message

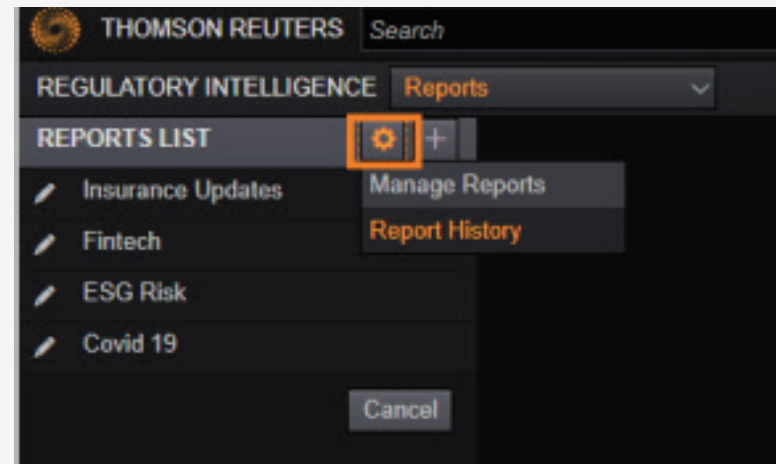
255 characters left

☒ Notes

Cancel Share

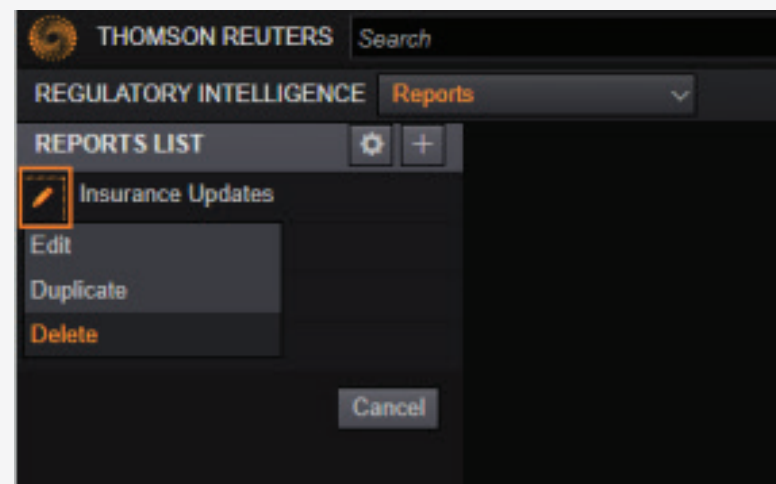
## 7.3 Manage Reports

Click on the Cog (options) icon to select Manage Reports or Report History.



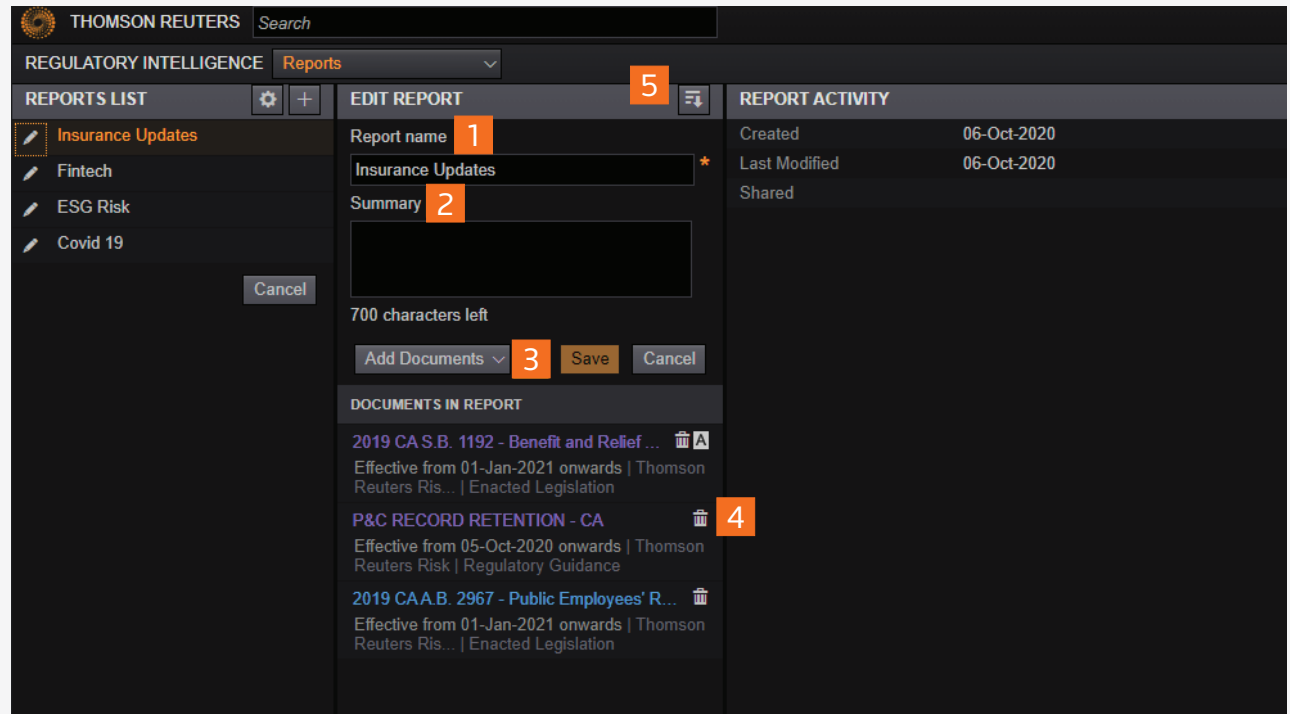
### 7.3.1 Manage Reports

Selecting to Manage Reports will enable the Pencil icon in line with each report title which will allow you to Edit, Duplicate, or Delete a report.



## 7.3.2 Editing a Report

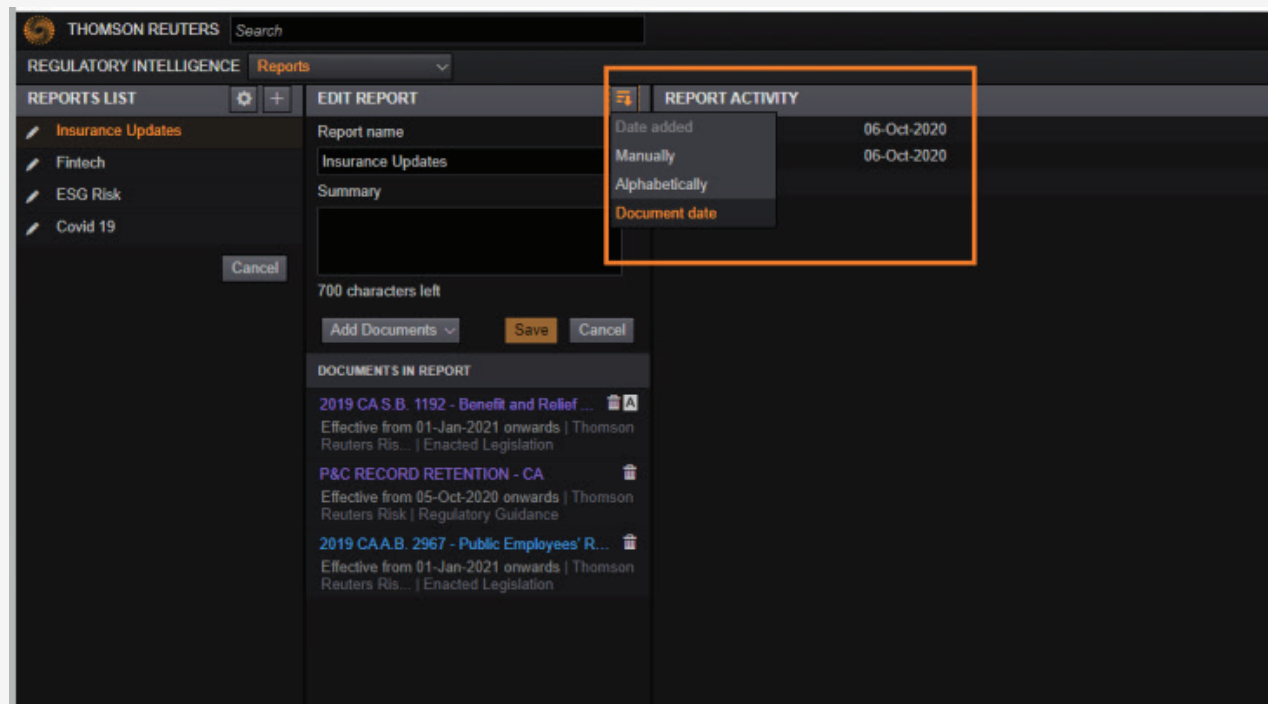
Editing a report will allow you to change the report name (1), amend the summary (2), add new documents (3), or remove documents (4), and change the order of documents (5).





## 7.3.3 Reordering Documents in a Report

By default, the documents in a report will appear in reverse order to which they are added. However, by selecting the Order by icon within Edit, you can reorder the reports by Date added, Manually, Alphabetically, and Document date. If you select the Manually option, you can drag and drop the articles into your preferred order.

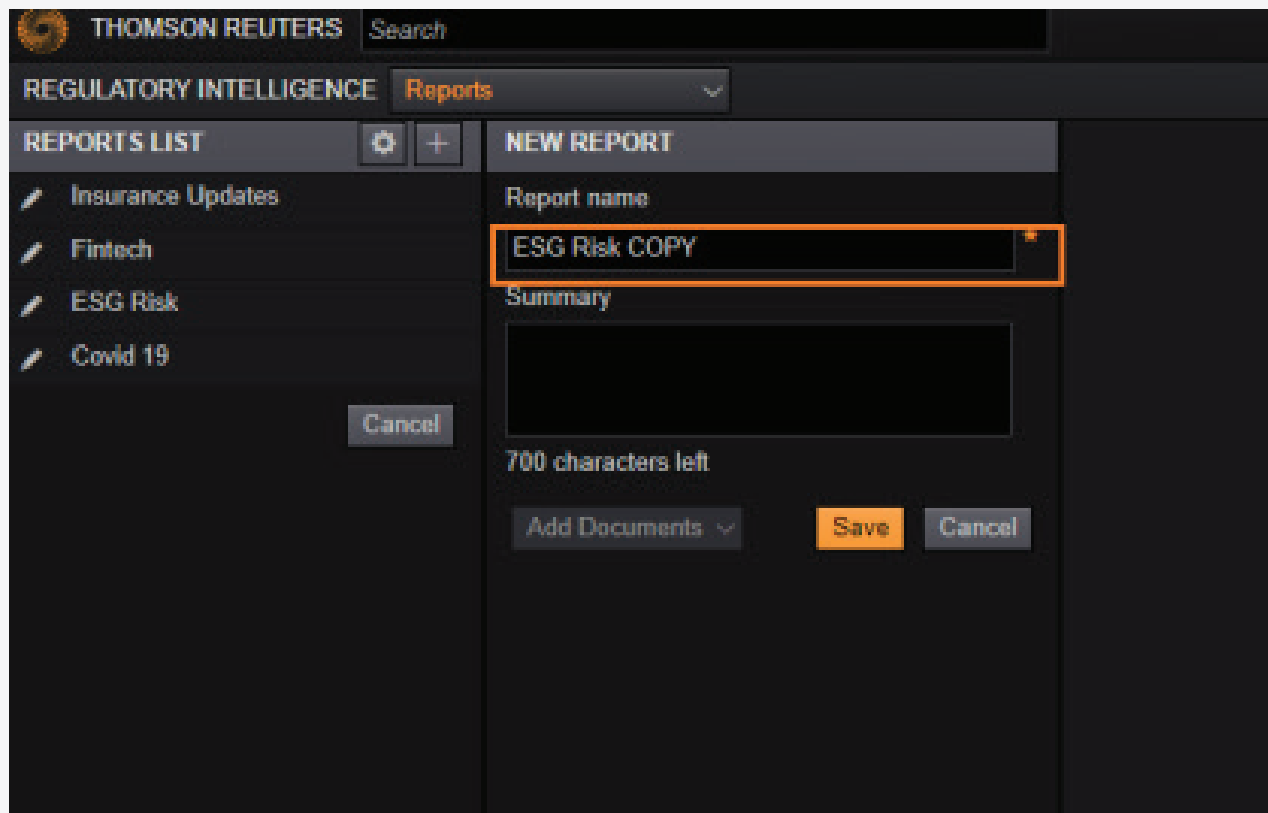


## 7.3.4 Duplicating a Report

Duplicating a report will allow you to use an existing report as the starting point for a new one. A new report will be created with the same name as that of the report duplicated, with the suffix COPY. Hit Save to start amending your duplicated report.

## 7.3.5 Deleting a Report

The option to Delete allows you to permanently delete a report.

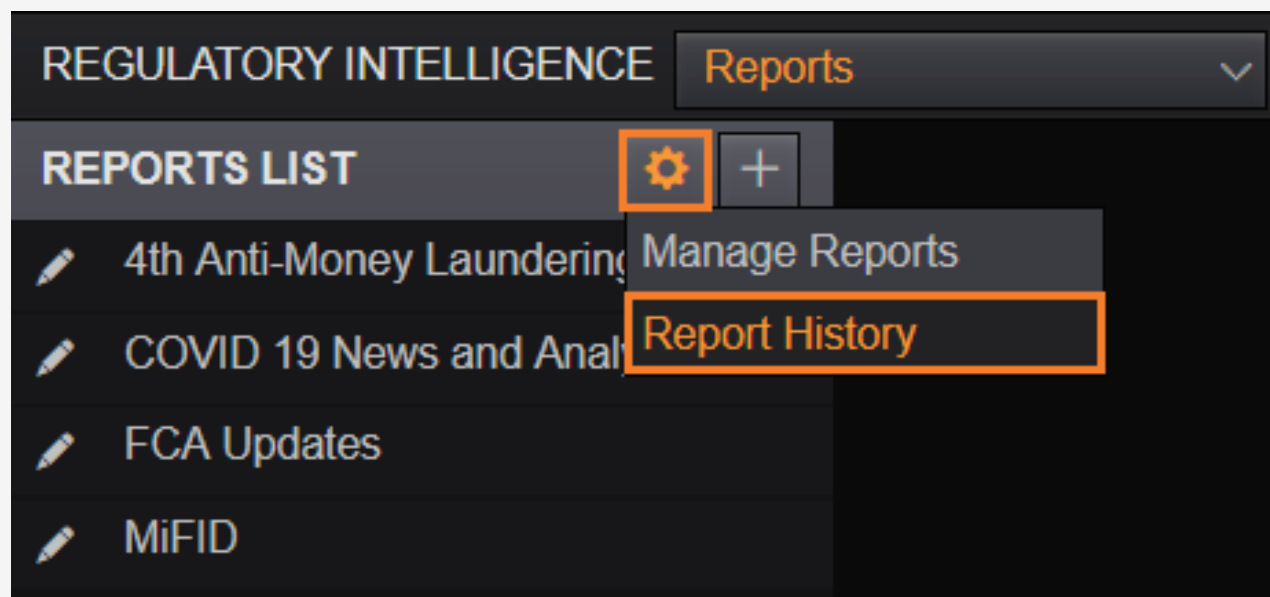


The screenshot displays the Thomson Reuters Regulatory Intelligence interface. At the top, the 'THOMSON REUTERS' logo is visible next to a search bar. Below this, the 'REGULATORY INTELLIGENCE' header is followed by a 'Reports' dropdown menu. The main content area is split into two panels. The left panel, titled 'REPORTS LIST', contains a list of report categories: 'Insurance Updates', 'Fintech', 'ESG Risk', and 'Covid 19', each preceded by a pencil icon. A 'Cancel' button is located at the bottom of this list. The right panel, titled 'NEW REPORT', contains a 'Report name' field with the text 'ESG Risk COPY' (highlighted by an orange rectangle), a 'Summary' text area, and a character count '700 characters left'. At the bottom of the right panel are three buttons: 'Add Documents' (with a dropdown arrow), 'Save' (highlighted in orange), and 'Cancel'.

## 7.4 Report History

The Report History functionality provides an overview of all the reports available at that moment in time. The history shows the name, creation date, last modified date, and who the report was shared with (if the report was emailed).

The Report History can be exported or printed in PDF format.



## 7.4 Report history continued

The Report History does not provide an audit record of deleted reports.

REPORT

Report name

COVID 19 News and Analysis

Summary

DOCUMENTS IN REPORT

Regulation on Insurance  
Publication Date: 31-Dec-2017  
Sigorta Birliği (TSB) |

Regulation Amending  
Publication Date: 31-Dec-2017  
Sigorta Birliği (TSB) |

COVID-19 priority: FOC  
Publication Date: 13-Dec-2020  
Accelus News

SURVEY: Fifth annual  
Publication Date: 13-Dec-2020  
Analysis

REPORT ACTIVITY

Created

27-May-2020

Last Modified

04-Jan-2021

Shared

REPORT HISTORY

All reports for Rachel Simmons

As of 4 January 2021

Title	Created	Last Modified	Shared
4th Anti-Money Laundering Directive	09-May-2017	18-Aug-2020	09-Aug-2017 rachel.simmons@thomsonreuters.com 23-Oct-2017 rachel.simmons@thomsonreuters.com 30-Oct-2017 rachel.simmons@thomsonreuters.com 07-Dec-2017 jessica.prior@thomsonreuters.com 15-Jan-2018 rachel.simmons@thomsonreuters.com 25-Jun-2018 rachel.simmons@thomsonreuters.com 13-Dec-2019 rachel.simmons@thomsonreuters.com 15-Apr-2020 rachel.simmons@thomsonreuters.com
COVID 19 News and Analysis	27-May-2020	04-Jan-2021	N/A
ECA Updates	05-Feb-2019	16-Nov-2020	N/A

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