

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

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:

trrtrainingrequests@thomsonreuters.com.



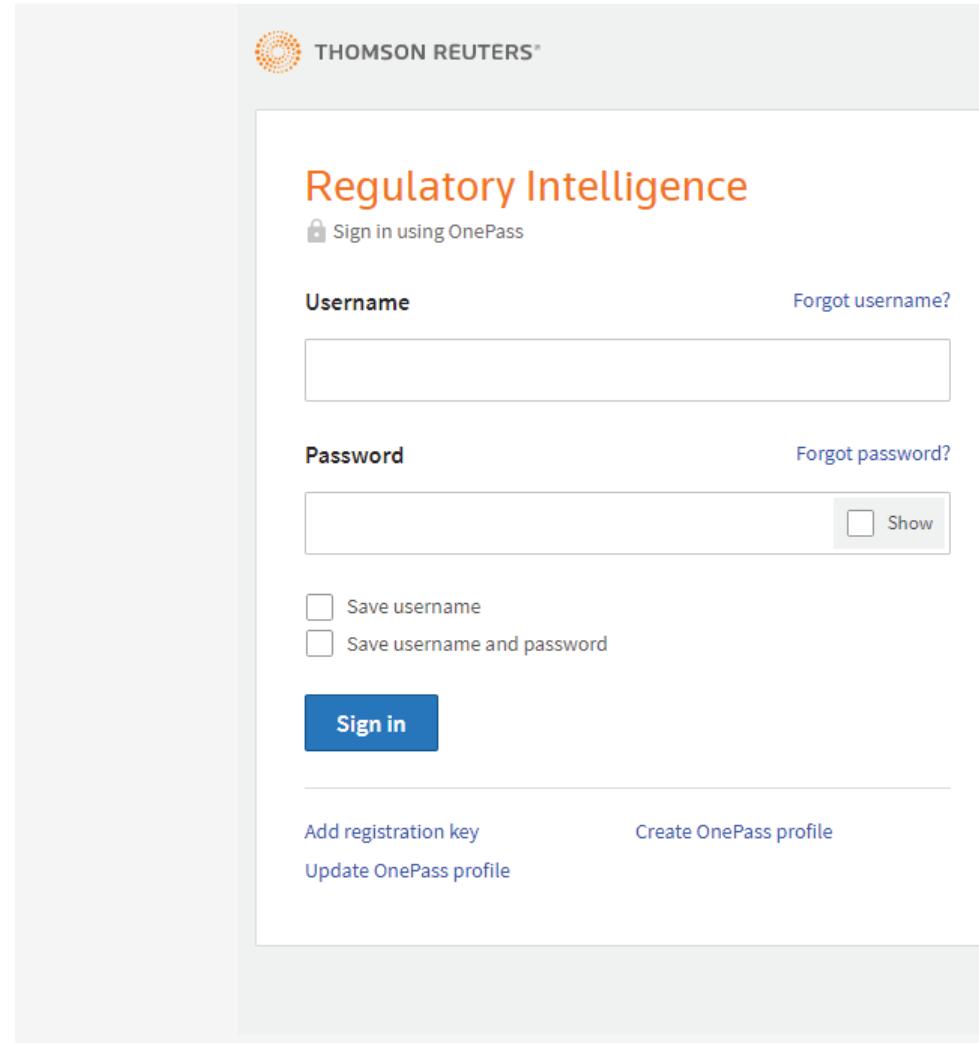
Part 1: Login and Logout

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?](#)

Show

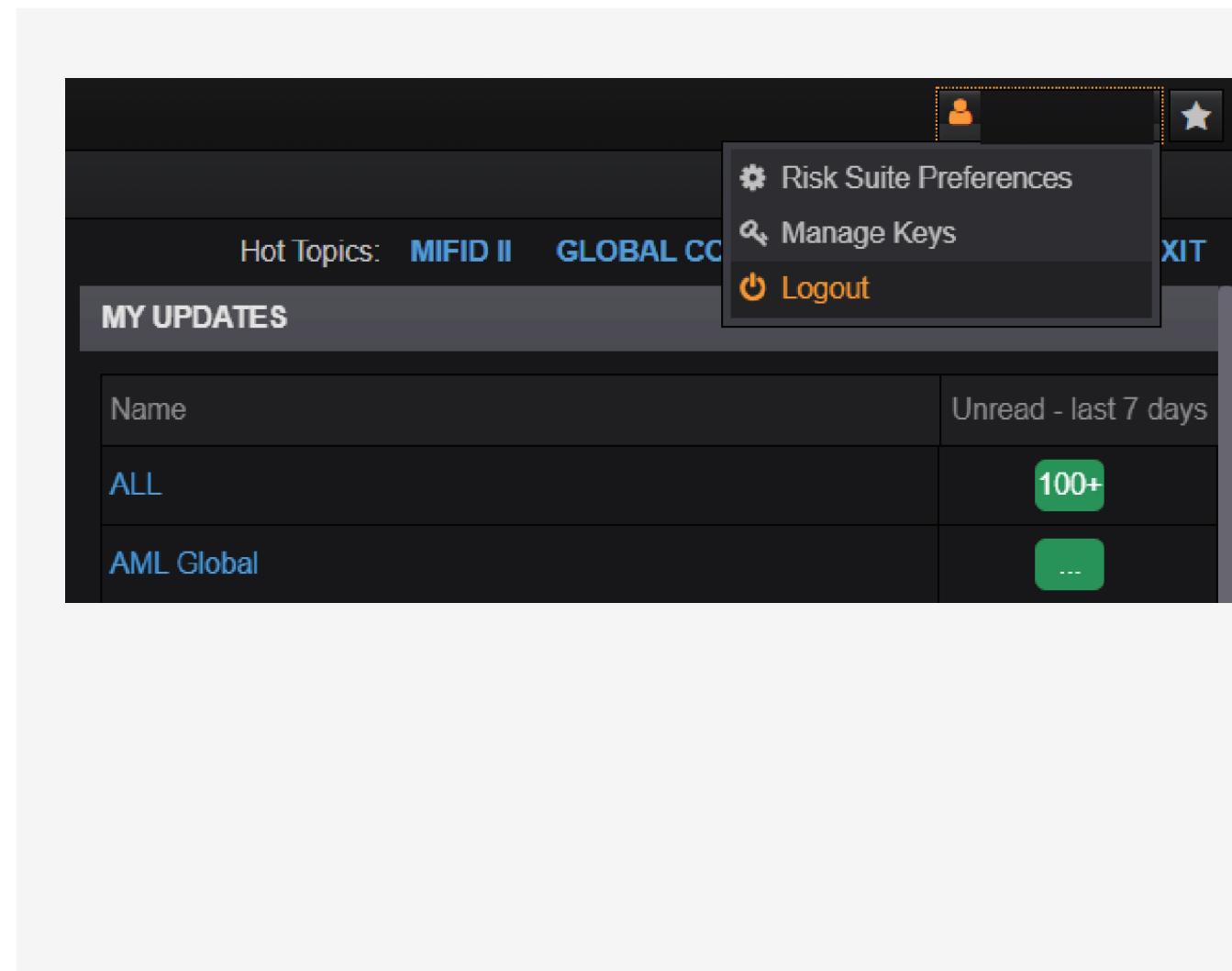
Save username
 Save username and password

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)

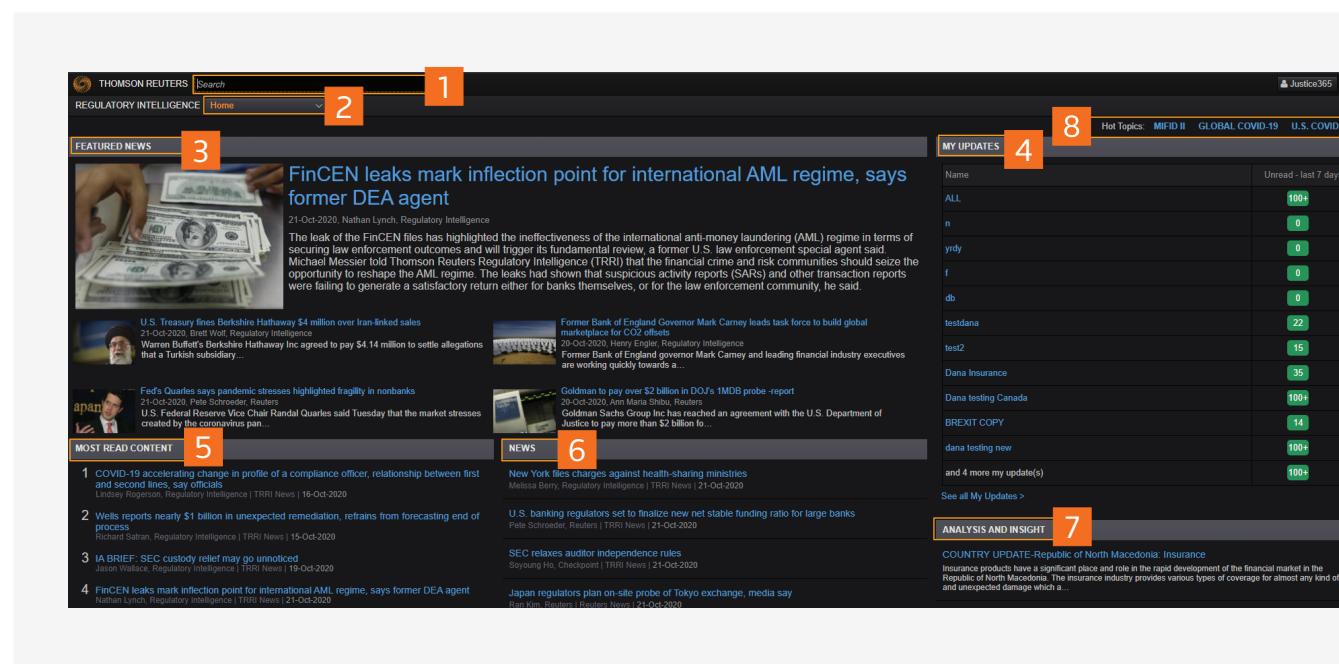
The drop-down menu allows you to move easily between the Homepage to the My Updates, Research (including the Library), Reports, and Settings sections.

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 tally or the tally box to view your unread articles.



The screenshot shows the homepage of Thomson Reuters Regulatory Intelligence. The following sections are highlighted and numbered:

- Search (1):** The top navigation bar, which includes a search bar and a dropdown menu labeled "REGULATORY INTELLIGENCE Home".
- Featured News (3):** A section titled "FEATURED NEWS" displaying a news article about FinCEN leaks. The article title is "FinCEN leaks mark inflection point for international AML regime, says former DEA agent".
- Home Menu (2):** A dropdown menu icon in the top right corner.
- My Updates (4):** A section titled "MY UPDATES" showing a list of unread documents. The list includes items like "ALL" (100+ unread), "n" (0 unread), "ydy" (0 unread), "f" (0 unread), "db" (0 unread), "testdina" (22 unread), "test2" (15 unread), "Dana Insurance" (35 unread), "Dana testing Canada" (100+ unread), "BREXIT COPY" (14 unread), "dana testing new" (100+ unread), and "and 4 more my update(s)" (100+ unread). A "See all My Updates >" link is also present.
- Analysis and Insight (7):** A section titled "ANALYSIS AND INSIGHT" featuring a "COUNTRY UPDATE-Republic of North Macedonia: Insurance" article. The article discusses the insurance industry's role in the financial market in North Macedonia.
- Hot Topics (8):** A section titled "Hot Topics: MiFID II, GLOBAL COVID-19, U.S. COVID-19" with a "Justice365" link.
- Most Read Content (5):** A section titled "MOST READ CONTENT" listing the top 5 most read articles. The articles include:
 - 1 COVID-19 accelerating change in profile of a compliance officer, relationship between first and second lines, say officials
 - 2 Wells reports nearly \$1 billion in unexpected remediation, refrains from forecasting end of process
 - 3 IA BRIEF: SEC custody relief may go unnoticed
 - 4 FinCEN leaks mark inflection point for international AML regime, says former DEA agent
- News (6):** A section titled "NEWS" listing the top 6 news articles. The articles include:
 - 5 U.S. Treasury fines Berkshire Hathaway \$4 million over coin-linked sales
 - 6 Former Bank of England Governor Mark Carney leads task force to build global marketplace for CO2 offsets
 - 7 Goldman to pay over \$2 billion in DOJ's IMD probe - report
 - 8 New York files charges against health-sharing ministries
 - 9 U.S. banking regulators set to finalize new net stable funding ratio for large banks
 - 10 SEC relaxes auditor independence rules

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.

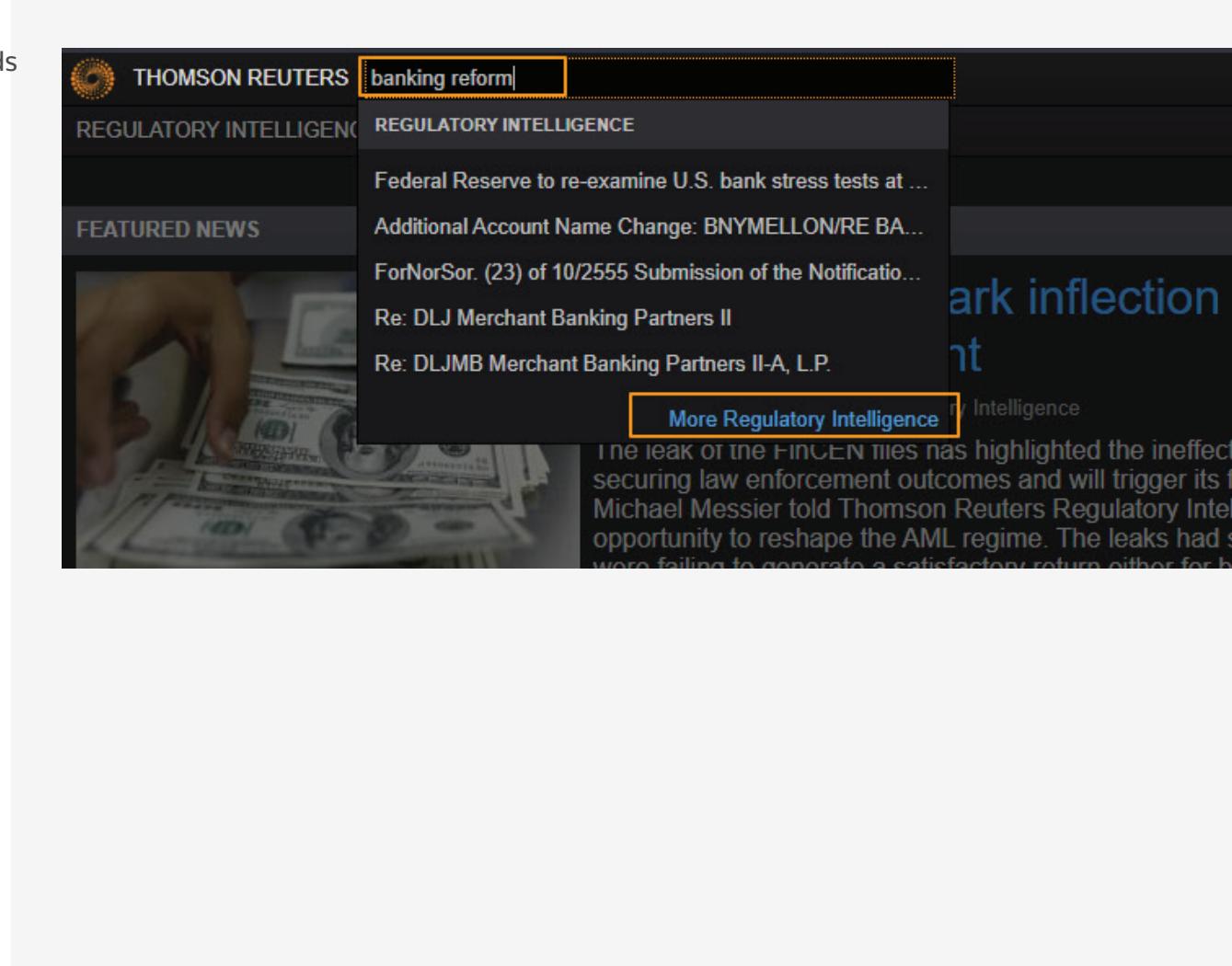
The screenshot shows the Thomson Reuters Regulatory Intelligence homepage. At the top, there is a navigation bar with the Thomson Reuters logo, a search bar, and a 'REGULATORY INTELLIGENCE' dropdown menu. Below the navigation bar, there are two main sections: 'Reuters Insider' (9) and 'Thought Leadership' (10). The 'Reuters Insider' section features a video thumbnail titled 'COST OF COMPLIANCE 2020 COVID-19 UPDATE SHOWS FIRMS RESPONSE TO PANDEMIC' with a play button. The 'Thought Leadership' section features a report titled 'Cost of Compliance 2020: New decade, new challenges' by Susannah Hammond and Mike Cowan. The right side of the page includes a sidebar with 'Hot Topics' (MIFID II, GLOBAL COVID-19, U.S. COVID-19), 'COUNTRY UPDATES' (Bolivia, Insurance), 'IMPACT ANALYSIS' (Court imposes A\$75 million penalty on OTC derivative issuer for unconscionable conduct), 'BOARDROOM BRIEFING' (UK government suggests FCA have statutory responsibility for retail cash system), and 'BOARDROOM BRIEFING' (G30 calls for firms to conduct climate change stress tests, mandate TCFD disclosures by 2023).

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.



The screenshot shows the Thomson Reuters Regulatory Intelligence homepage. In the top right corner, there is a search bar with the text "banking reform" entered. Below the search bar, a list of search results is displayed under the heading "REGULATORY INTELLIGENCE". The results include:

- Federal Reserve to re-examine U.S. bank stress tests at ...
- Additional Account Name Change: BNYMELLON/RE BA...
- ForNorSor. (23) of 10/2555 Submission of the Notificatio...
- Re: DLJ Merchant Banking Partners II
- Re: DLJMB Merchant Banking Partners II-A, L.P.

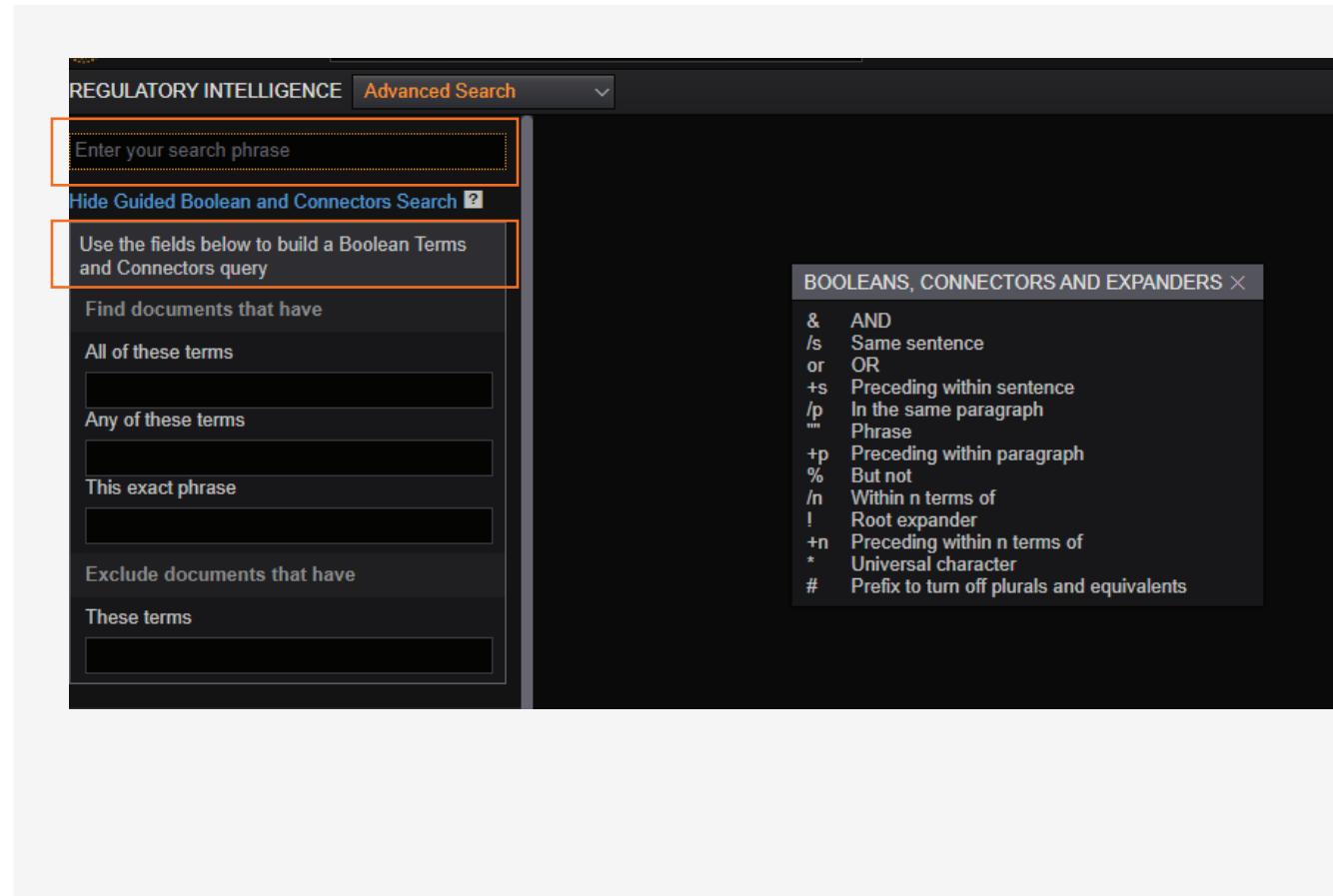
At the bottom of the search results, there is a button labeled "More Regulatory Intelligence". The background of the page features a photograph of a hand holding a stack of US dollar bills.

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.



The screenshot shows the 'REGULATORY INTELLIGENCE' interface with the 'Advanced Search' tab selected. On the left, there are two main search input fields: 'Enter your search phrase' and 'Use the fields below to build a Boolean Terms and Connectors query'. The second field is highlighted with an orange box. Below these are sections for finding documents that have 'All of these terms', 'Any of these terms', and 'This exact phrase'. On the right, a 'BOOLEANS, CONNECTORS AND EXPANDERS' panel is open, also highlighted with an orange box. It lists various Boolean operators and their meanings:

Boolean Operator	Meaning
&	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

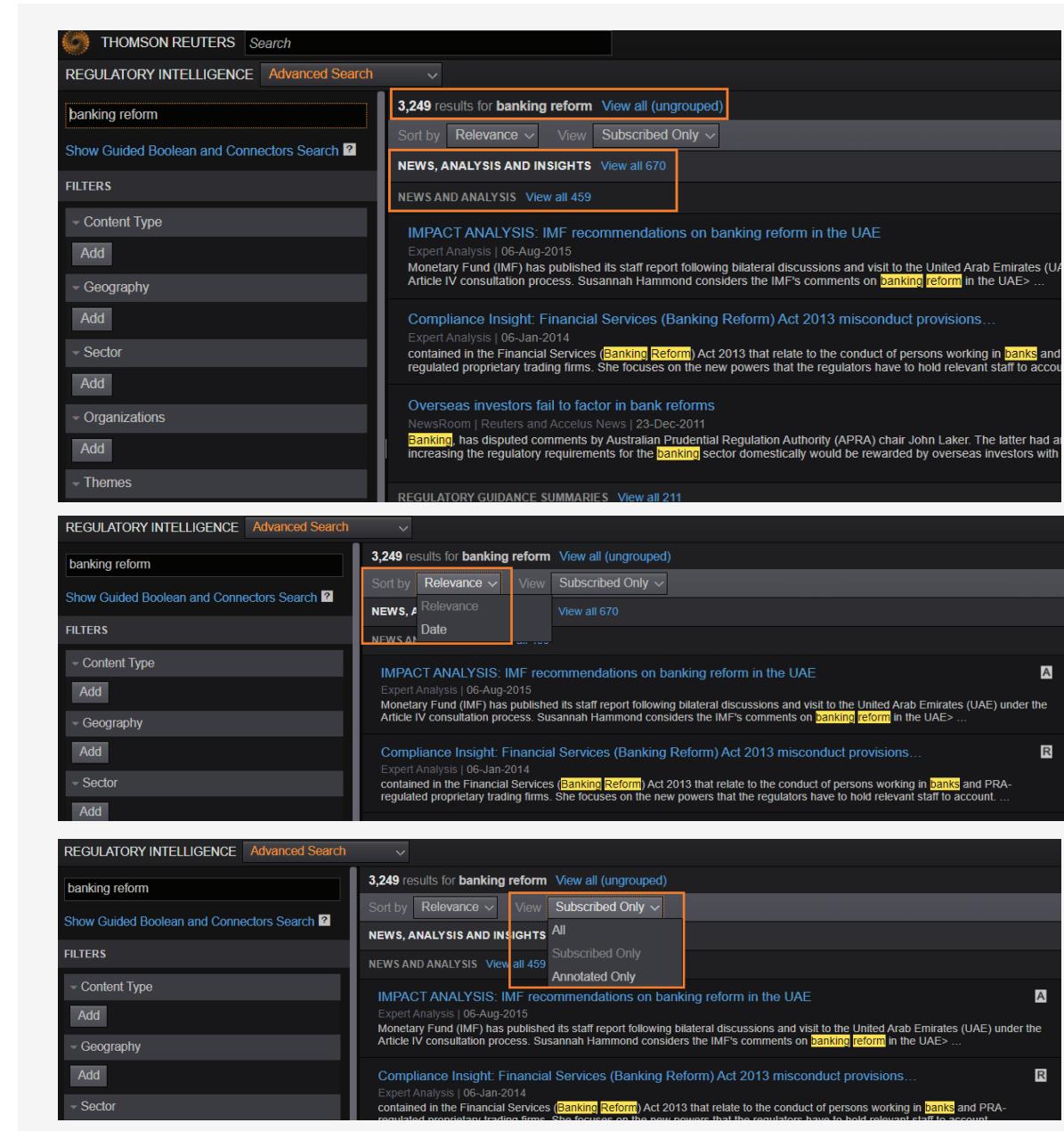
Search results are delivered via an Overview page and results are grouped by Content Type and then sub-content type by default:

- 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.



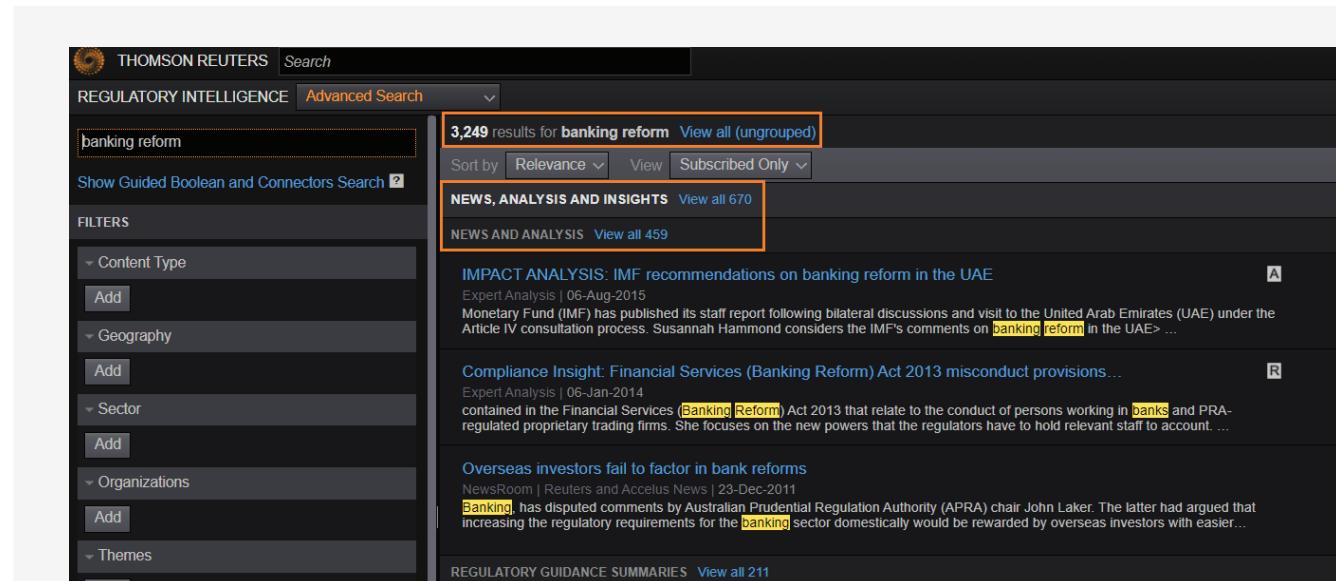
The image displays three vertically stacked screenshots of the Thomson Reuters Regulatory Intelligence search results page. Each screenshot shows a search for 'banking reform'.

- Screenshot 1 (Top):** Shows the main search results. The top right corner displays '3,249 results for banking reform' and a 'View all (ungrouped)' link. Below this, there are three main content categories with their respective counts: 'NEWS, ANALYSIS AND INSIGHTS' (View all 670), 'NEWS AND ANALYSIS' (View all 459), and 'REGULATORY GUIDANCE SUMMARIES' (View all 211). Each category has a brief description and a link to the full results.
- Screenshot 2 (Middle):** Shows the search results with a different view. The 'View' dropdown menu is open, showing options: 'Relevance' (selected), 'View', 'Subscribed Only', and 'Date'. The 'Subscribed Only' option is highlighted with a red box.
- Screenshot 3 (Bottom):** Shows the search results with another view. The 'View' dropdown menu is open, showing options: 'Relevance', 'View', 'Subscribed Only', and 'Annotated Only'. The 'Annotated Only' option is highlighted with a red box.

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.



REGULATORY INTELLIGENCE Advanced Search

banking reform

3,249 results for banking reform [View all \(ungrouped\)](#)

Sort by [Relevance](#) [View](#) [Subscribed Only](#)

NEWS, ANALYSIS AND INSIGHTS [View all 670](#)

NEWS AND ANALYSIS [View all 459](#)

IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE A
Expert Analysis | 06-Aug-2015
Monetary Fund (IMF) has published its staff report following bilateral discussions and visit to the United Arab Emirates (UAE) under the Article IV consultation process. Susannah Hammond considers the IMF's comments on banking reform in the UAE > ...

Compliance Insight: Financial Services (Banking Reform) Act 2013 misconduct provisions... R
Expert Analysis | 06-Jan-2014
contained in the Financial Services (Banking Reform) Act 2013 that relate to the conduct of persons working in banks and PRA-regulated proprietary trading firms. She focuses on the new powers that the regulators have to hold relevant staff to account. ...

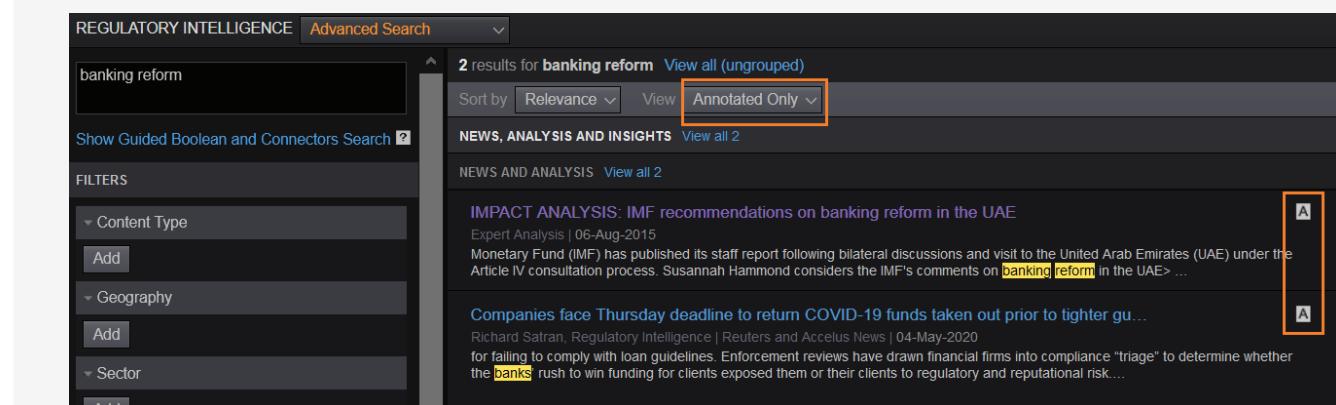
Overseas investors fail to factor in bank reforms
NewsRoom | Reuters and Accelus News | 23-Dec-2011
Banking has disputed comments by Australian Prudential Regulation Authority (APRA) chair John Laker. The latter had argued that increasing the regulatory requirements for the banking sector domestically would be rewarded by overseas investors with easier...
REGULATORY GUIDANCE SUMMARIES [View all 211](#)

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.



REGULATORY INTELLIGENCE Advanced Search

banking reform

2 results for banking reform [View all \(ungrouped\)](#)

Sort by [Relevance](#) [View](#) [Annotated Only](#)

NEWS, ANALYSIS AND INSIGHTS [View all 2](#)

IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE A
Expert Analysis | 06-Aug-2015
Monetary Fund (IMF) has published its staff report following bilateral discussions and visit to the United Arab Emirates (UAE) under the Article IV consultation process. Susannah Hammond considers the IMF's comments on banking reform in the UAE > ...

Companies face Thursday deadline to return COVID-19 funds taken out prior to tighter gu... A
Richard Satran, Regulatory Intelligence | Reuters and Accelus News | 04-May-2020
for failing to comply with loan guidelines. Enforcement reviews have drawn financial firms into compliance "triage" to determine whether the banks rush to win funding for clients exposed them or their clients to regulatory and reputational risk...
REGULATORY GUIDANCE SUMMARIES [View all 211](#)

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:



3,249 results for **banking reform** [View all \(ungrouped\)](#)

Sort by [Relevance](#) [View](#) [Subscribed Only](#)

NEWS, ANALYSIS AND INSIGHTS [View all 670](#)

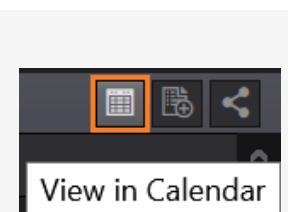
NEWS AND ANALYSIS [View all 459](#)

IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE 

Expert Analysis | 06-Aug-2015
Monetary Fund (IMF) has published its staff report following bilateral discussions and visit to the United Arab Emirates (UAE) under the Article IV consultation process. Susannah Hammond considers the IMF's comments on **banking reform** in the UAE> ...

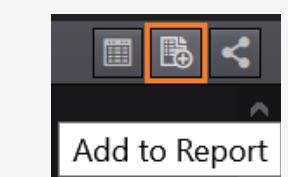
3.4.1 View in Calendar

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.



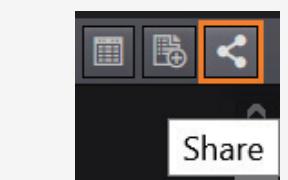
3.4.2 Add to Report

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 the option to select the "Add to Report" or "Share" icon.



3,249 results for **banking reform** [View all \(ungrouped\)](#)

Sort by [Relevance](#) [View](#) [Subscribed Only](#)

NEWS, ANALYSIS AND INSIGHTS [View all 670](#)

NEWS AND ANALYSIS [View all 459](#)

IMPACT ANALYSIS: IMF recommendations on banking reform in the UAE 

Expert Analysis | 06-Aug-2015
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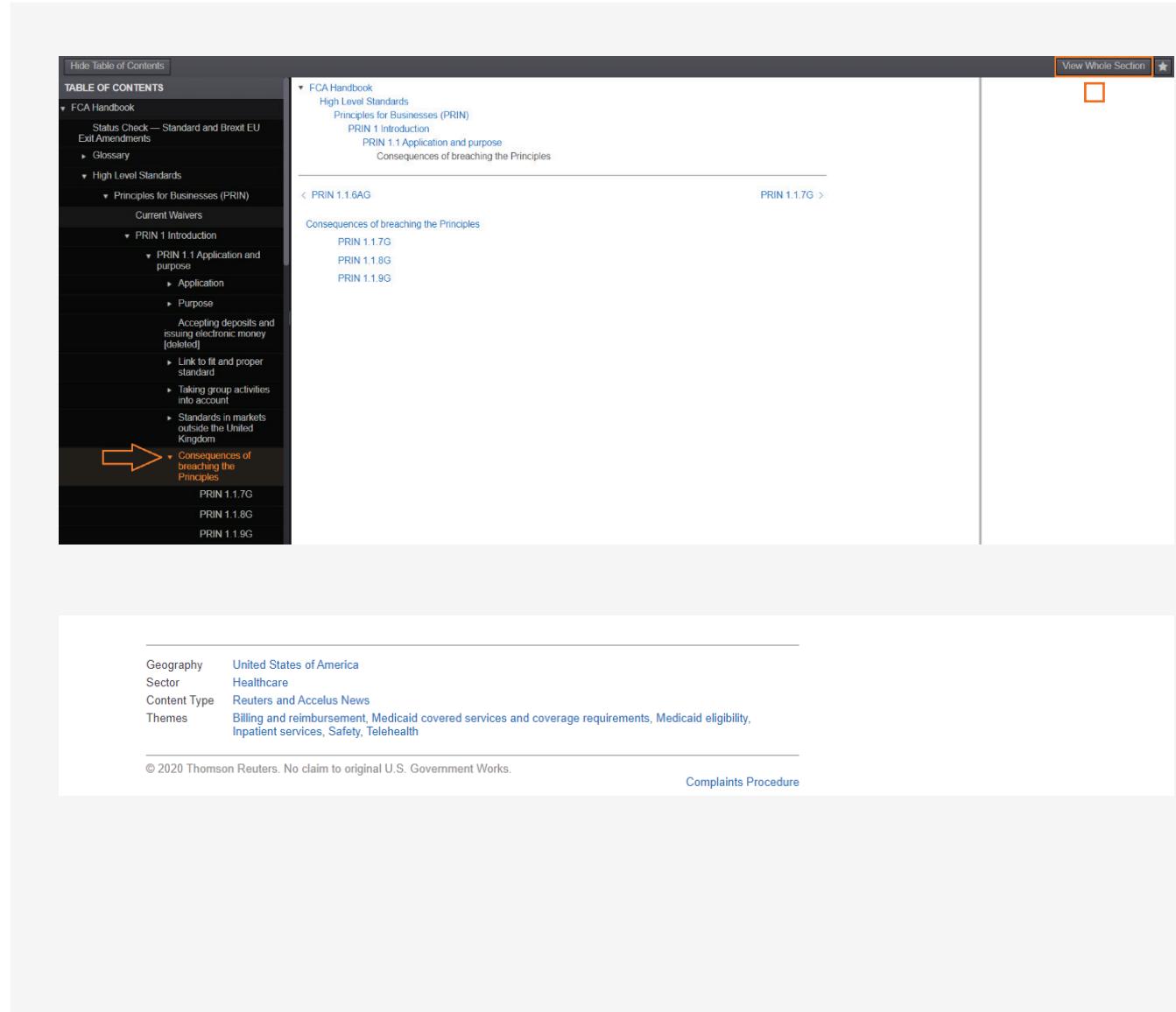
3.5 Article Options

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.



The screenshot shows the 'FCA Handbook' Table of Contents. A yellow arrow points to the 'Consequences of breaching the Principles' section under 'PRIN 1.1 Application and purpose'. The right-hand panel displays the content of 'PRIN 1.1.7G', which includes a table of contents for 'Consequences of breaching the Principles' with three items: PRIN 1.1.7G, PRIN 1.1.8G, and PRIN 1.1.9G. The 'View Whole Section' button is highlighted with a yellow box. At the bottom, there is a table of taxonomy properties:

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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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):

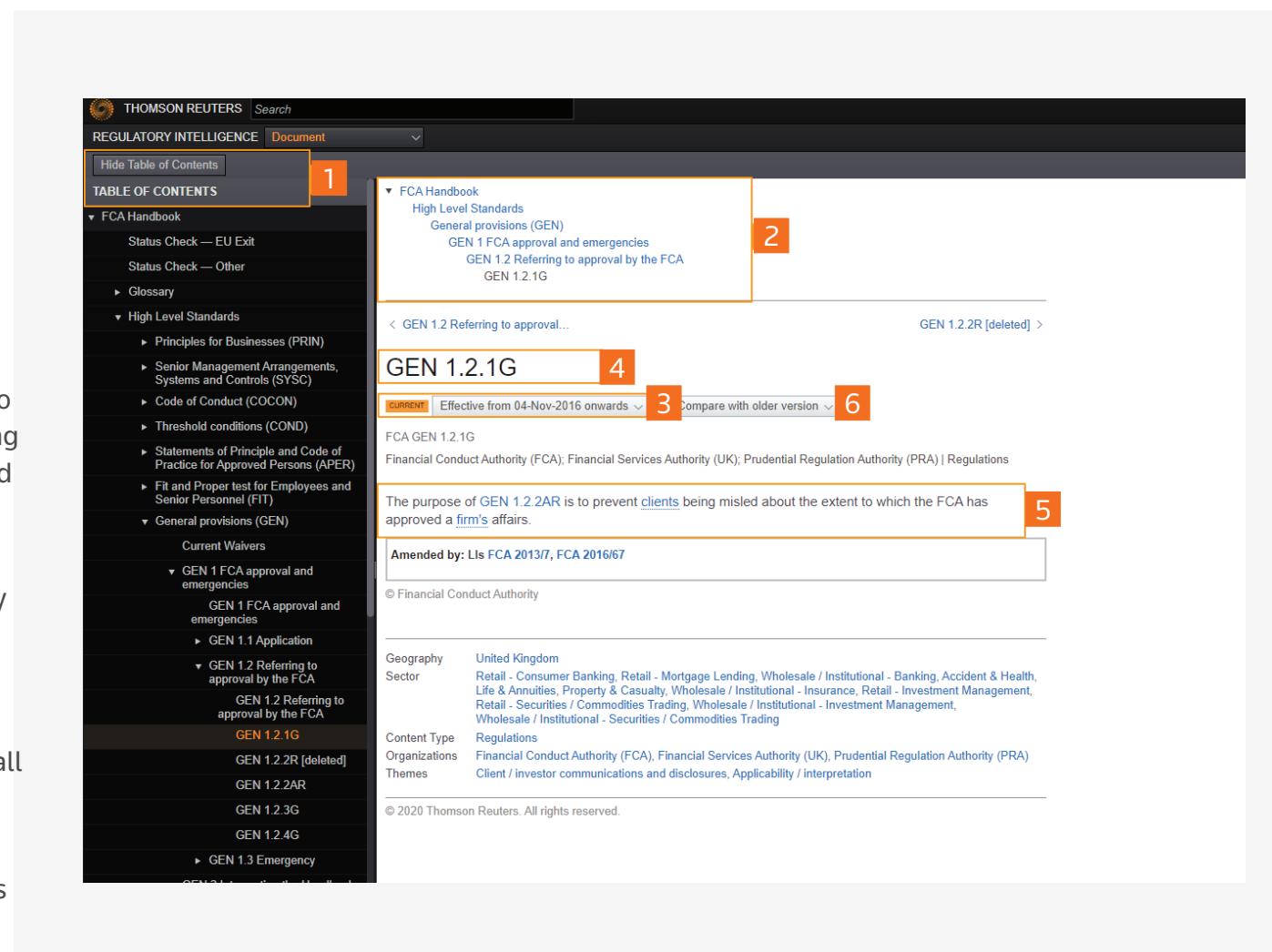
Select the version drop-down to view all previous iterations of the document and, if applicable, associated future versions.

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 shows the Thomson Reuters Regulatory Intelligence document viewer. The interface includes a top navigation bar with the Thomson Reuters logo, a search bar, and tabs for 'REGULATORY INTELLIGENCE' and 'Document'. A 'TABLE OF CONTENTS' button is highlighted with a red box and the number 1. The main content area shows the 'FCA Handbook' table of contents, with the 'High Level Standards' section expanded. A specific rule, 'GEN 1.2.1G', is highlighted with a red box and the number 4. Below it, a note states 'Amended by: LIs FCA 2013/7, FCA 2016/67'. A 'Compare with older version' dropdown is highlighted with a red box and the number 6. The bottom of the screen displays geographical information (United Kingdom), 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). A copyright notice for 2020 Thomson Reuters is also present.

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):

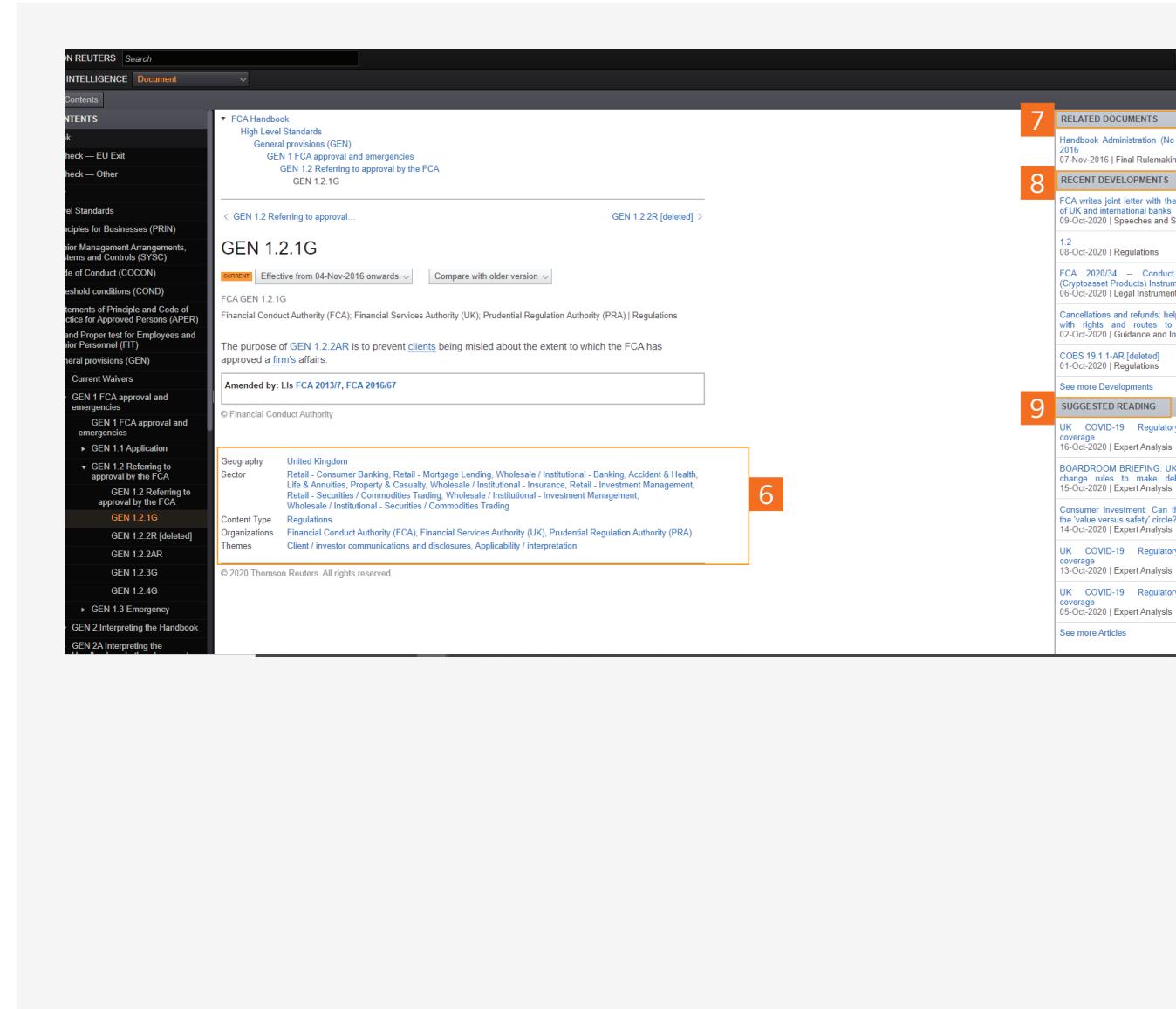
Links that have been manually created by the editor/author of the document and therefore likely to be a highly accurate reflection of related content. An example could be historical “Analysis” pieces written in the past on the same subject.

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 Geography, Sector, and Theme classifications.



The screenshot shows a document view for 'GEN 1.2.1G'. The left sidebar displays a table of contents with various sections like 'FCA Handbook', 'High Level Standards', and 'Principles for Businesses (PRIN)'. The main content area shows the document's details, including its effective date (04-Nov-2016), a note about preventing clients from being misled, and a history of amendments. A box highlights the 'Amended by: LIs FCA 2013/7, FCA 2016/67' section. The right side features three widgets: 'RELATED DOCUMENTS' (7), 'RECENT DEVELOPMENTS' (8), and 'SUGGESTED READING' (9). The 'RELATED DOCUMENTS' widget shows a link to 'Handbook: Administration (No 2016 07-Nov-2016 | Final Rulemaking)'. The 'RECENT DEVELOPMENTS' widget lists several FCA-related news items. The 'SUGGESTED READING' widget lists COVID-19 related articles and a boardroom briefing. A red box labeled '6' is positioned over the 'Content Type' section of the document details.

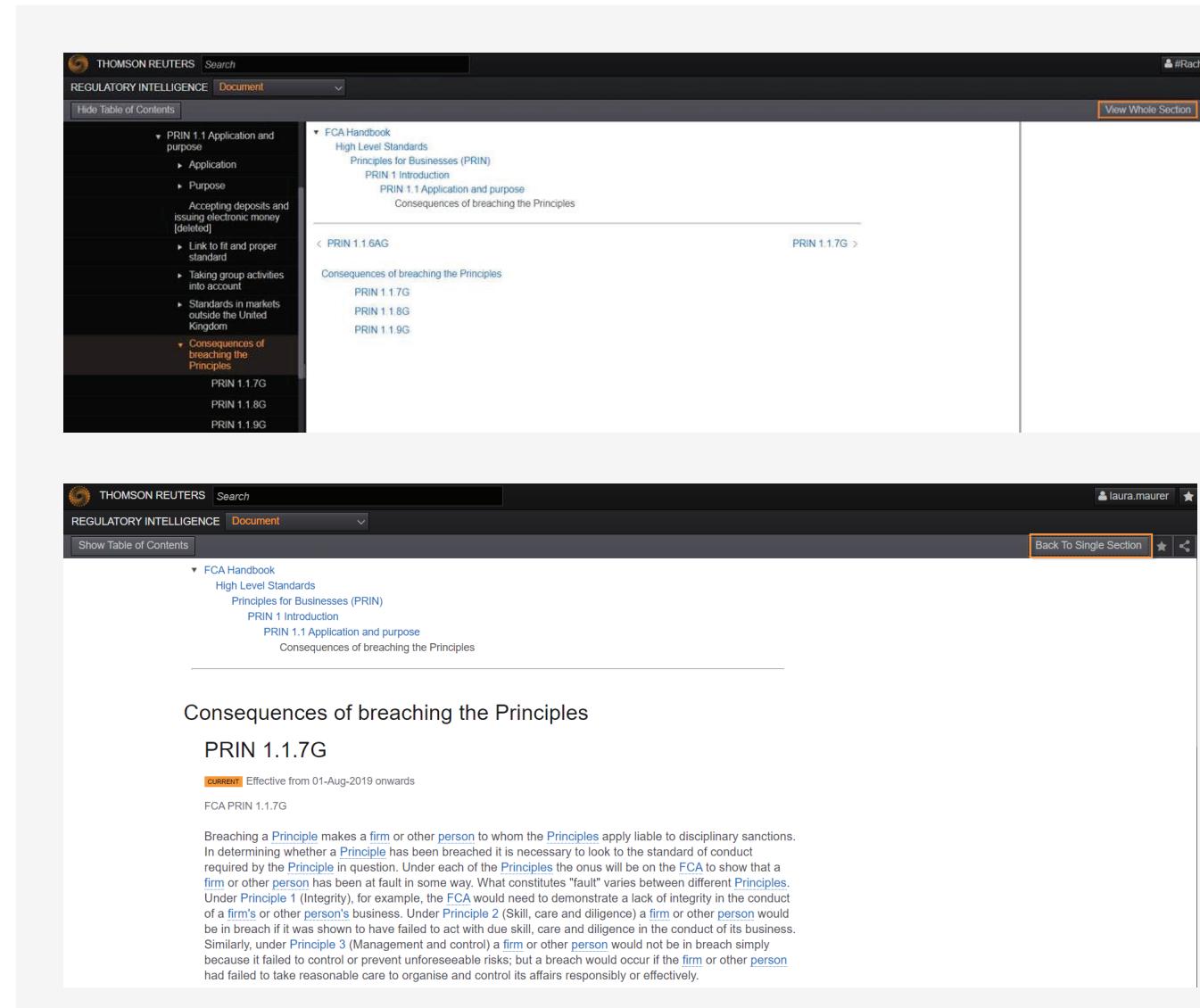
3.5.1.1 Using View Whole Section

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'.

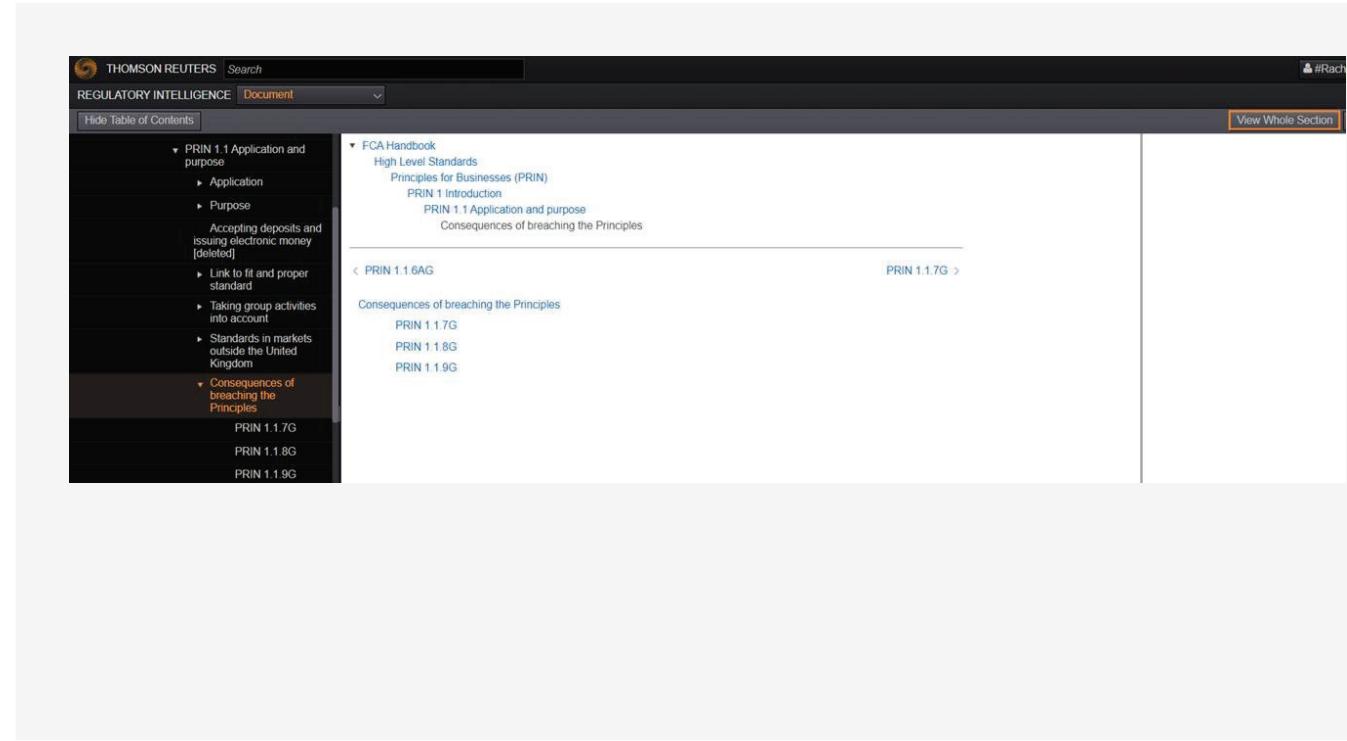
To return to the outline table of contents view, select "Back To Single Section" on the top right corner of your document.



The screenshot illustrates the 'View Whole Section' feature in the Thomson Reuters Regulatory Intelligence platform. On the left, the Table of Contents (TOC) is displayed as a hierarchical tree. A specific node, 'Consequences of breaching the Principles', is selected and highlighted in the TOC tree. On the right, the detailed content of this selected section is shown. The right panel includes a navigation bar with a user icon and a 'View Whole Section' button. Below the content area, another screenshot shows the 'Back To Single Section' button highlighted in the top right corner of the right panel, indicating the user's action to return to the single section view.

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.

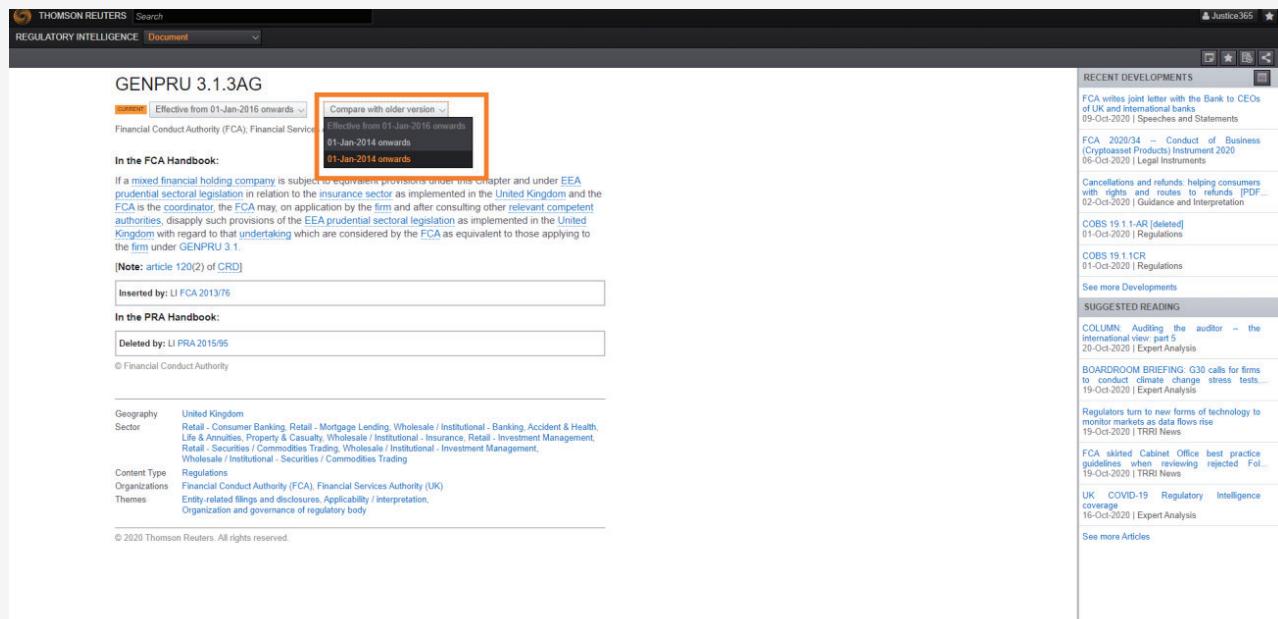


The screenshot shows a navigation sidebar on the left with a tree view of document sections. The 'Consequences of breaching the Principles' section is expanded, showing sub-sections: PRIN 1.1.7G, PRIN 1.1.8G, and PRIN 1.1.9G. The main content area on the right displays the first few pages of the PRIN 1.1.7G section. At the bottom of the content area, there is a 'Load more content' indicator. In the top right corner of the main content area, there is a 'View Whole Section' button, which is highlighted with a yellow box.

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.



GENPRU 3.1.3AG

Effective from 01-Jan-2016 onwards

Compare with older version

In the FCA Handbook:

If a mixed financial holding company is subject to equivalent provisions under this Chapter and under EEA prudential sectoral legislation in relation to the insurance sector as implemented in the United Kingdom and the FCA is the coordinator, the FCA may, on application by the firm and after consulting other relevant competent authorities, disapply such provisions of the EEA prudential sectoral legislation as implemented in the United Kingdom with regard to that undertaking which are considered by the FCA as equivalent to those applying to the firm under GENPRU 3.1.

[Note: article 120(2) of CRD]

Inserted by: LI FCA 2013/76

In the PRA Handbook:

Deleted by: LI PRA 2015/95

© Financial Conduct Authority

Geography: United Kingdom
Sector: Retail - Consumer Banking, Retail - Mortgage Lending, Wholesale / Institutional - Banking, Accident & Health, Life & Pensions, Property & Casualty, Wholesale / Institutional - Insurance, Retail - Investment Management, Retail - Securities / Commodities Trading, Wholesale / Institutional - Securities / Commodities Trading

Content Type: Regulations
Organizations: Financial Conduct Authority (FCA), Financial Services Authority (UK)
Themes: Entity-related filings and disclosures, Applicability / interpretation, Organization and governance of regulatory body

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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)

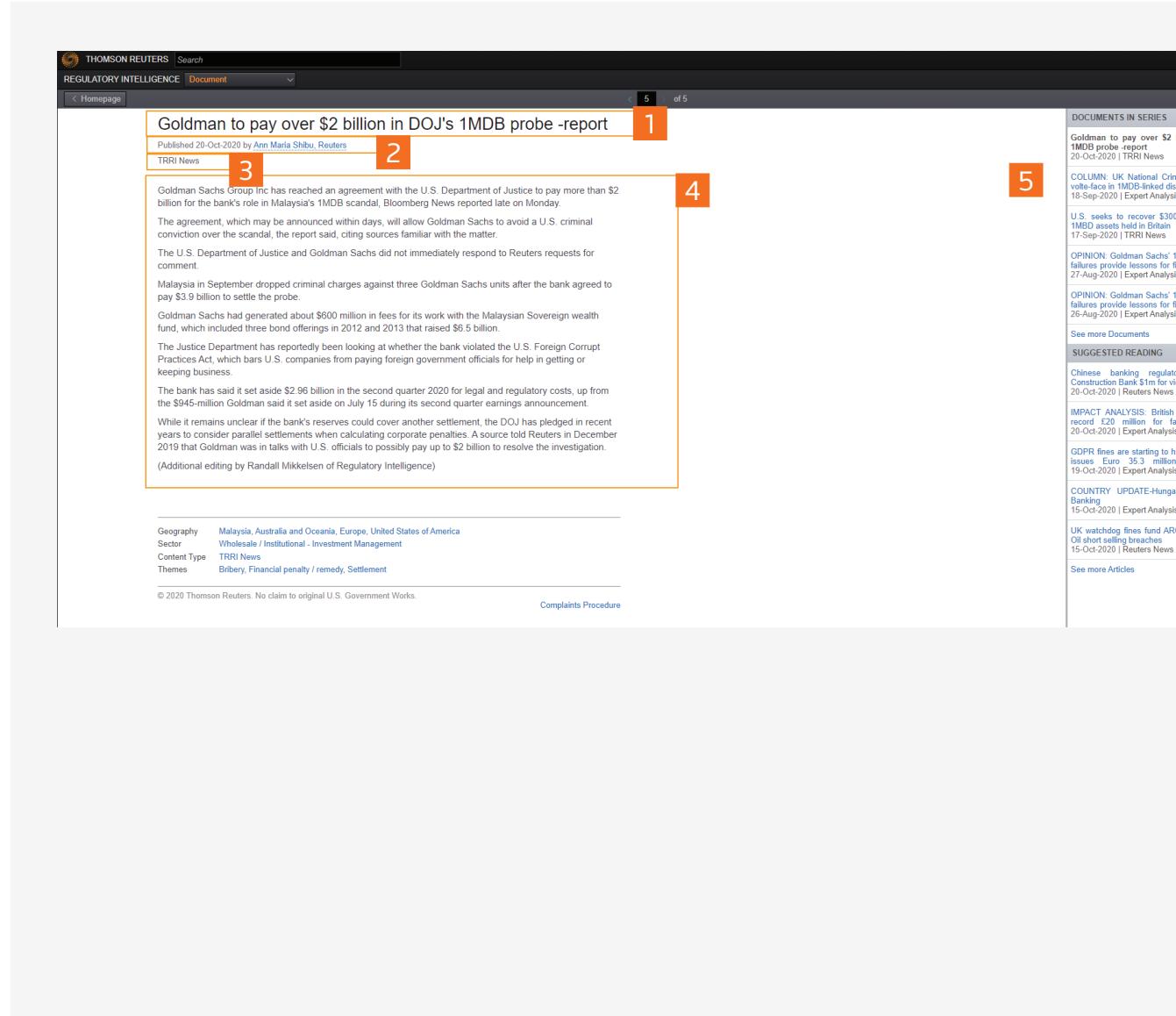
There are two possible widgets that will appear on the right-hand side in the document view:

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 shows a document view with the following numbered callouts:

- 1** Title: "Goldman to pay over \$2 billion in DOJ's 1MDB probe -report"
- 2** Publication Date and Author's name: "Published 20-Oct-2020 by Ann Maria Shibu, Reuters"
- 3** Content Type: "TRRI News"
- 4** Body of document: The main article content, which includes a summary of the DOJ's probe into Goldman Sachs' role in the 1MDB scandal, mentioning a \$2 billion settlement and the bank's agreement to pay more than \$2 billion for its role in the scandal.
- 5** Related content: Two widgets on the right side:
 - DOCUMENTS IN SERIES**: A list of related articles, including "Goldman to pay over \$2 1MDB probe -report" and "U.S. seeks to recover \$300 1MDB assets held in News".
 - SUGGESTED READING**: A list of recommended articles, including "Chinese banking regulate Construction Bank \$1m for via", "IMPACT ANALYSIS: British record £20 million for fa", and "GDPR fines are starting to h".

Below the main content, there is a table of document metadata and a footer with copyright and link information.

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

© 2020 Thomson Reuters. No claim to original U.S. Government Works. [Complaints Procedure](#)

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):

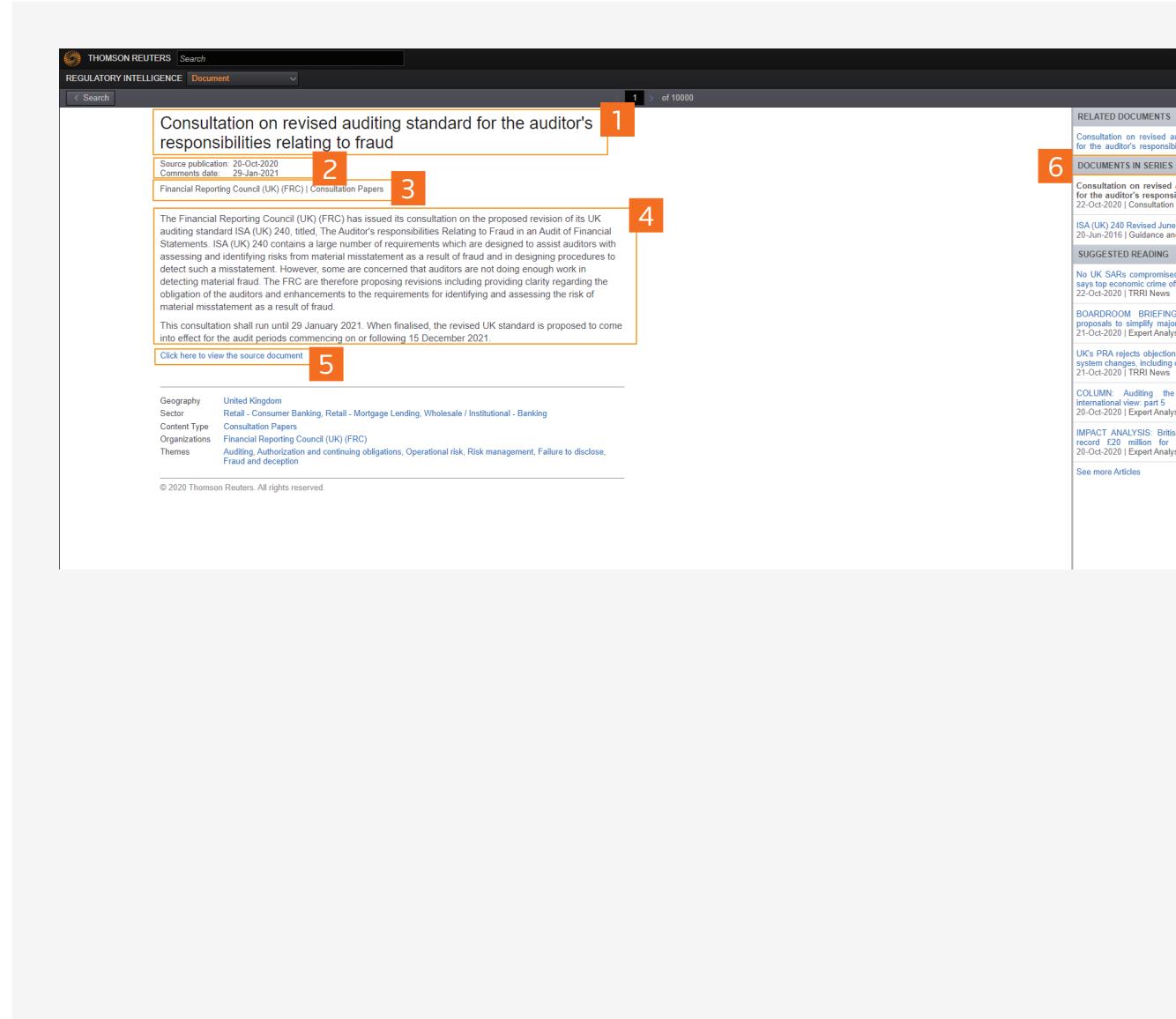
A summary of the contents of the article. This may be an extract from the article itself or of the analysis Thomson Reuters has made of the particular regulatory event.

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.



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) | 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

6 RELATED DOCUMENTS
DOCUMENTS IN SERIES
SUGGESTED READING

3.6 Document Share and Export Features

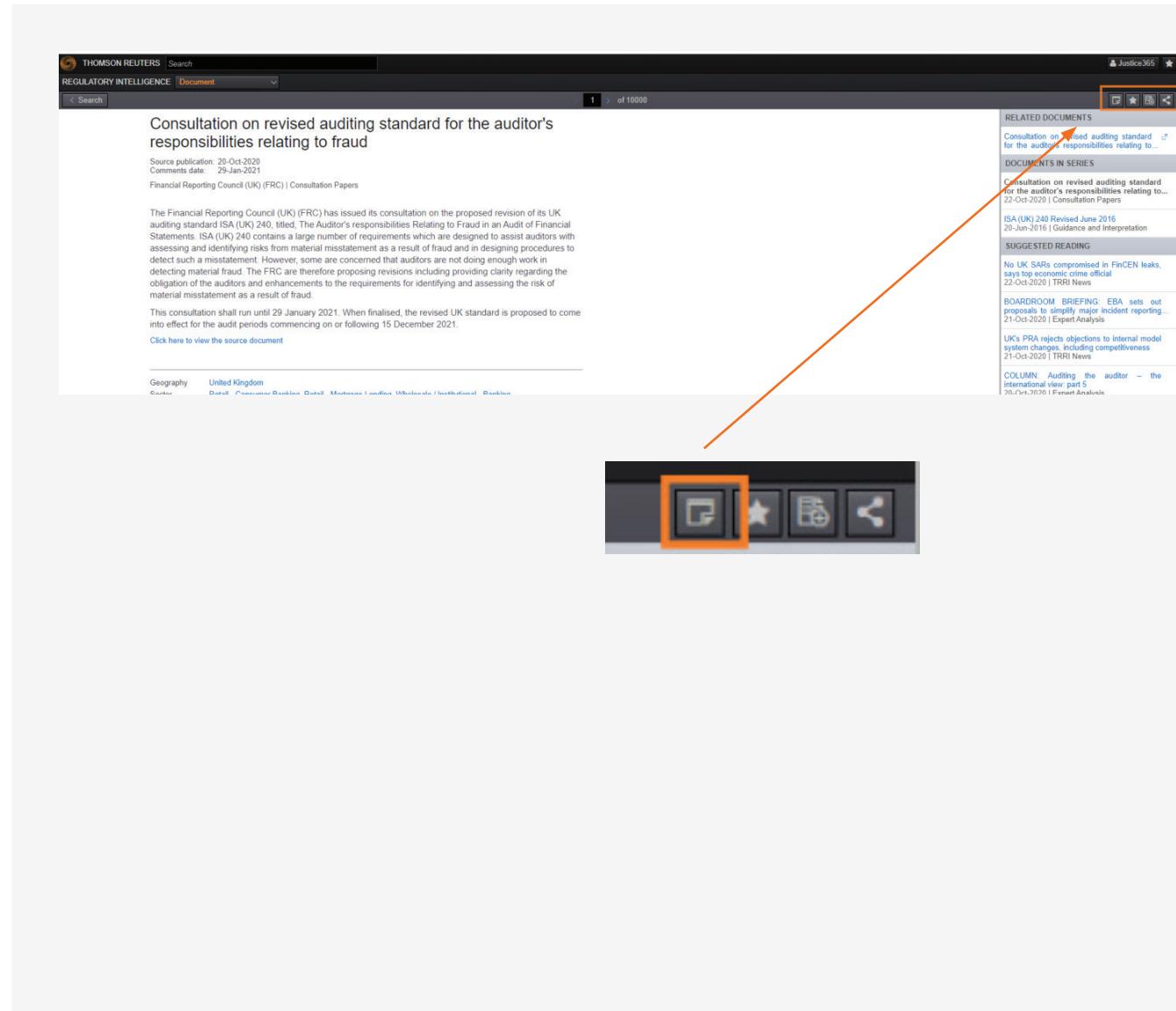
From the document view, you can select from a number of options located in the top right-hand corner: *Annotate*; *Bookmark*; *Add to Report* and *Share*.

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.

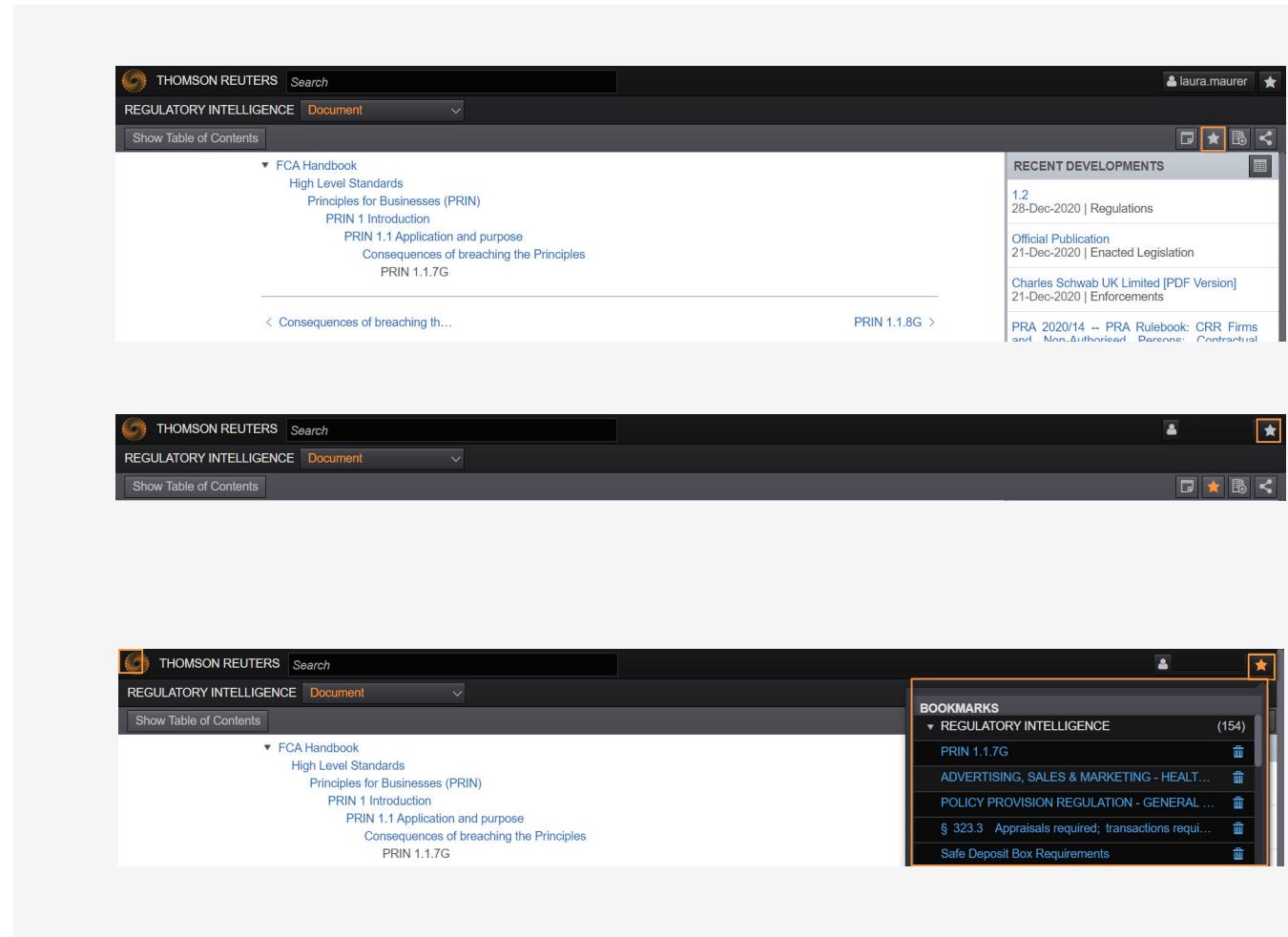


3.6.2 Bookmark

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.



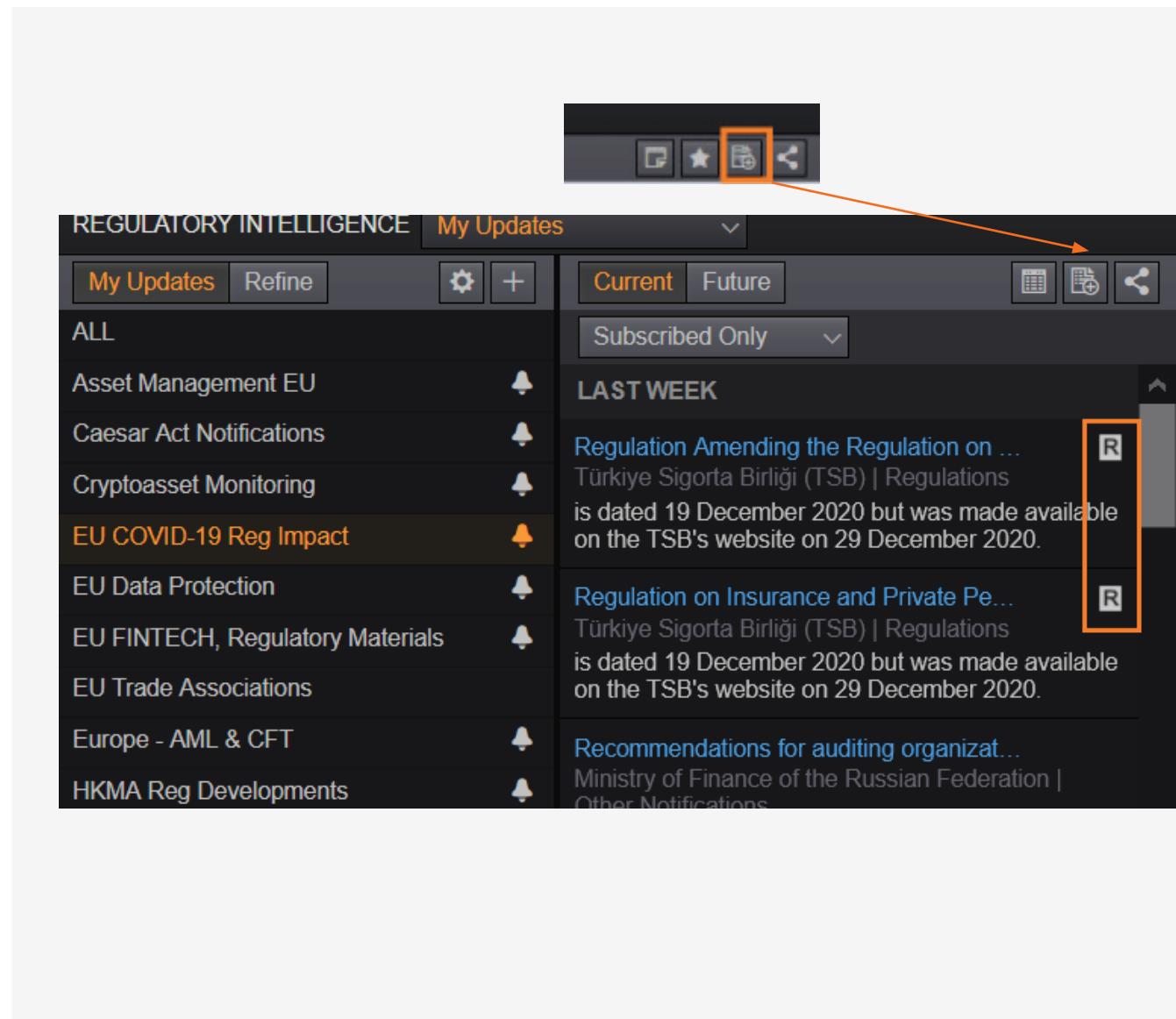
The image contains three screenshots of the Thomson Reuters Regulatory Intelligence application, illustrating the bookmarking feature across different views.

- Top Screenshot:** Shows a document page for "PRIN 1.1.8G". The top right corner of the document content has a yellow star icon. The right sidebar displays a "RECENT DEVELOPMENTS" list with items like "1.2 28-Dec-2020 | Regulations" and "Official Publication 21-Dec-2020 | Enacted Legislation".
- Middle Screenshot:** Shows a document page for "PRIN 1.1.8G". The top right corner of the document content has a yellow star icon. The right sidebar is empty, showing only the "RECENT DEVELOPMENTS" header.
- Bottom Screenshot:** Shows a document page for "PRIN 1.1.8G". The top right corner of the document content has a yellow star icon. The right sidebar is titled "BOOKMARKS" and lists several bookmarked items under "REGULATORY INTELLIGENCE (154)", each with a trash icon: "PRIN 1.1.7G", "ADVERTISING, SALES & MARKETING - HEALT...", "POLICY PROVISION REGULATION - GENERAL ...", "§ 323.3 Appraisals required; transactions requi...", and "Safe Deposit Box Requirements".

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.



REGULATORY INTELLIGENCE **My Updates**

My Updates Refine  

Current Future   

Subscribed Only

ALL

Document Title	Action
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	

LAST WEEK

Document Title	Action
Regulation Amending the Regulation on ... Türkiye Sigorta Birliği (TSB) Regulations is dated 19 December 2020 but was made available on the TSB's website on 29 December 2020.	
Regulation on Insurance and Private Pe... Türkiye Sigorta Birliği (TSB) Regulations is dated 19 December 2020 but was made available on the TSB's website on 29 December 2020.	
Recommendations for auditing organizat... Ministry of Finance of the Russian Federation Other Notifications	

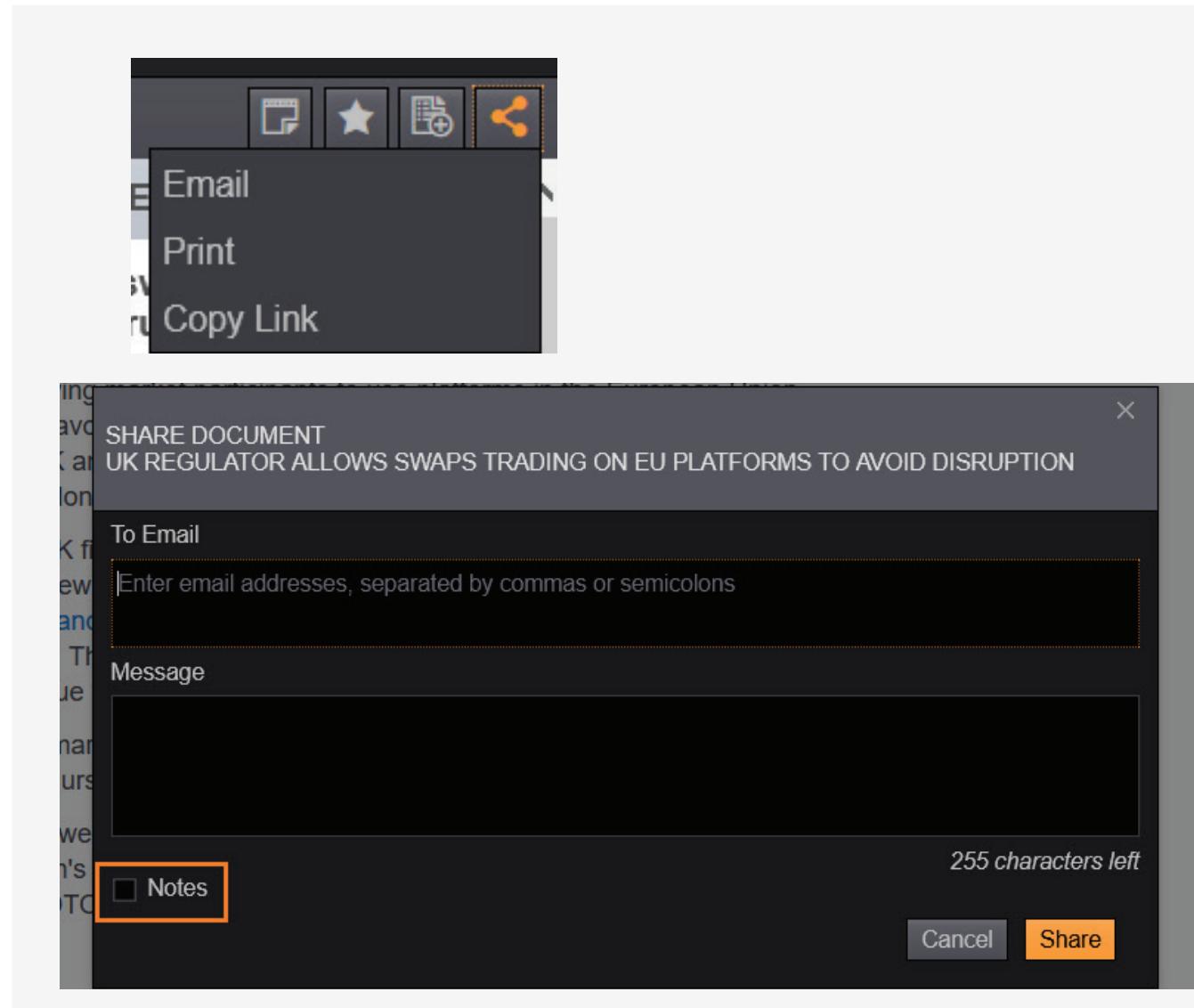
3.6.4 Share

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.

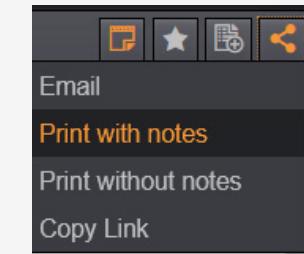
Please note that the recipient of the email will need to be a Regulatory Intelligence license holder in order to view the document in full.



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.



THOMSON REUTERS

REGULATORY INTELLIGENCE

Regulators should focus on retail market misconduct during pandemic, IOSCO says

Published 24-Dec-2020 by Trond Vagen, Regulatory Intelligence

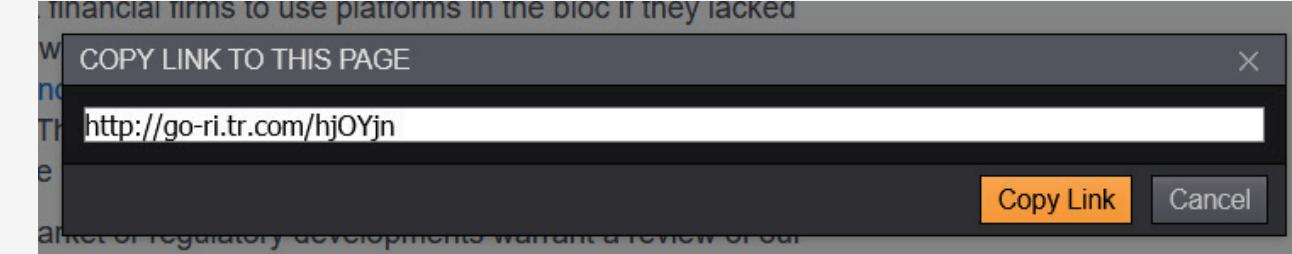
(Laura Maurer 2, 28-Dec-2020) Here is an example of using the annotation feature and including those annotations within your export.

The COVID-19 pandemic has fuelled a rise in market misconduct directed at retail investors, the International Organization of Securities Commissions (IOSCO) said. In a new [report](#) aimed at helping national regulators handle retail market conduct issues in stressed market situations such as a pandemic, IOSCO has set out a number of measures to mitigate the most common misconduct risks. IOSCO found the pandemic gave rise to a spectrum of retail misconduct, spanning from "egregious examples of fraudulent or predatory practices by unlicensed operators targeting retail investors" to the less serious inadvertent misconduct by regulated firms. Some common types of harmful behaviour identified during stress times include mis-selling, mis-labelling and misleading disclosure, and other investment advice.

Misconduct relating to complex products that were already highly susceptible to market volatility, such as retail over-the-counter

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.



financial firms to use platforms in the bloc if they lacked

W COPY LINK TO THIS PAGE

http://go-ri.tr.com/hjOYjn

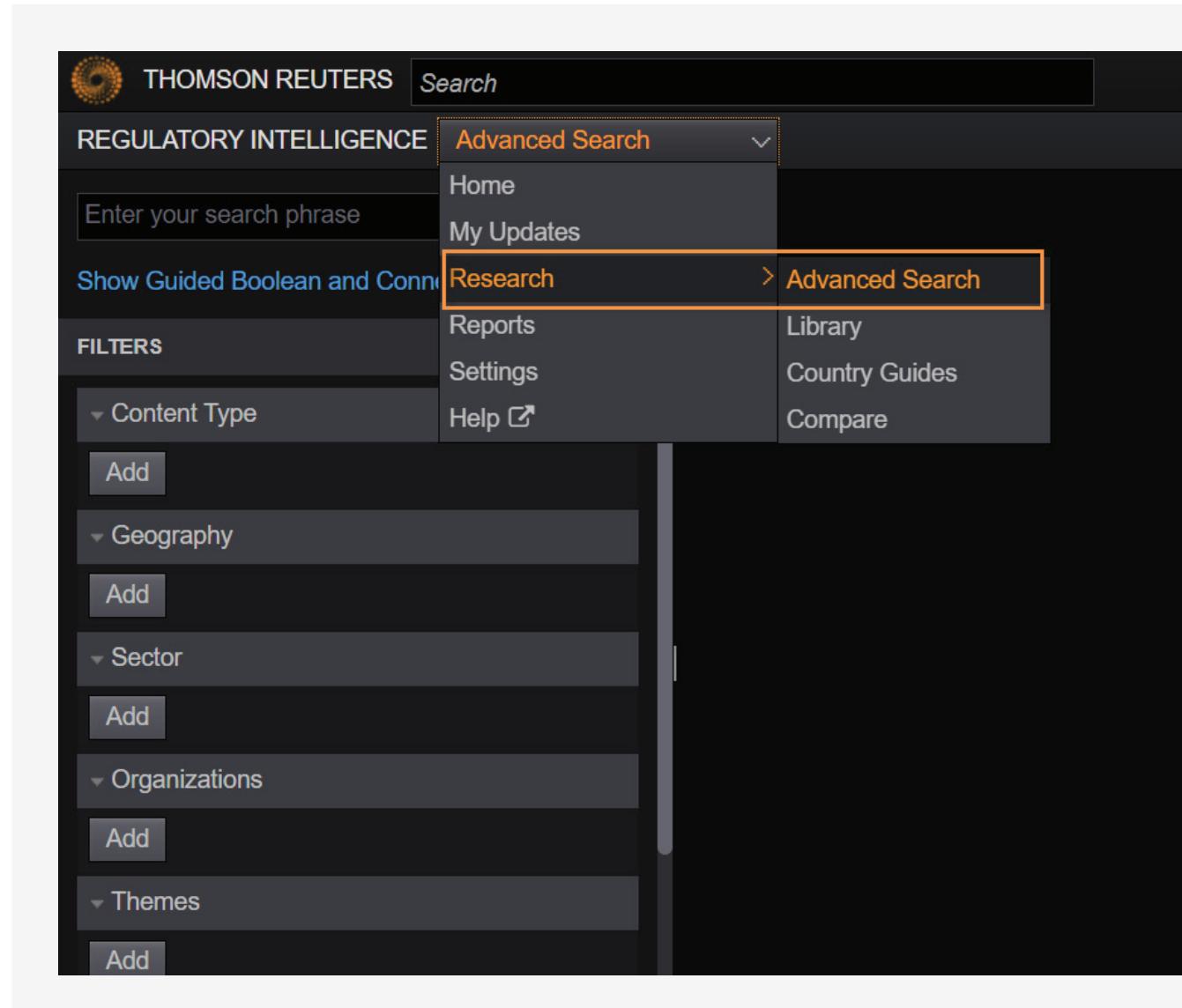
Cancel

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.

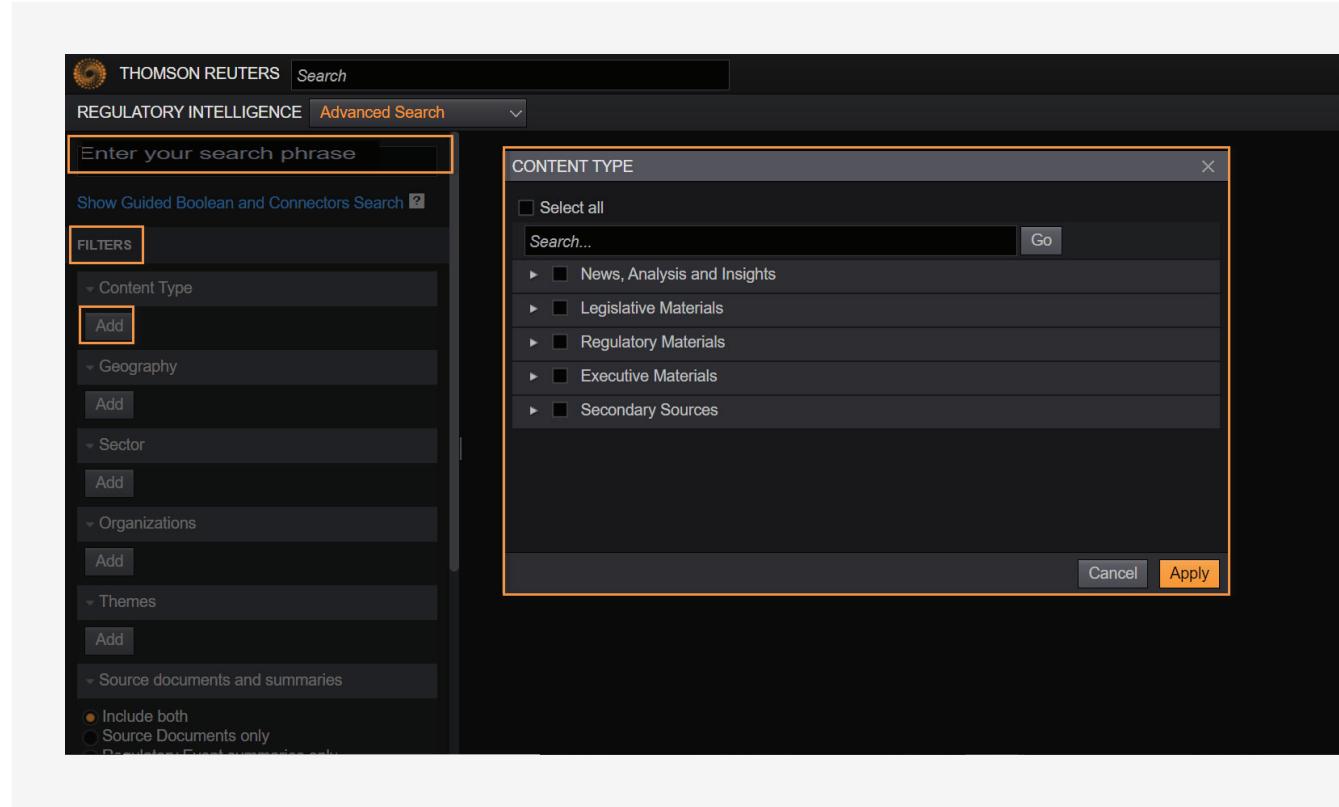
The selected parameters will be displayed in the field below the parent filter.

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:

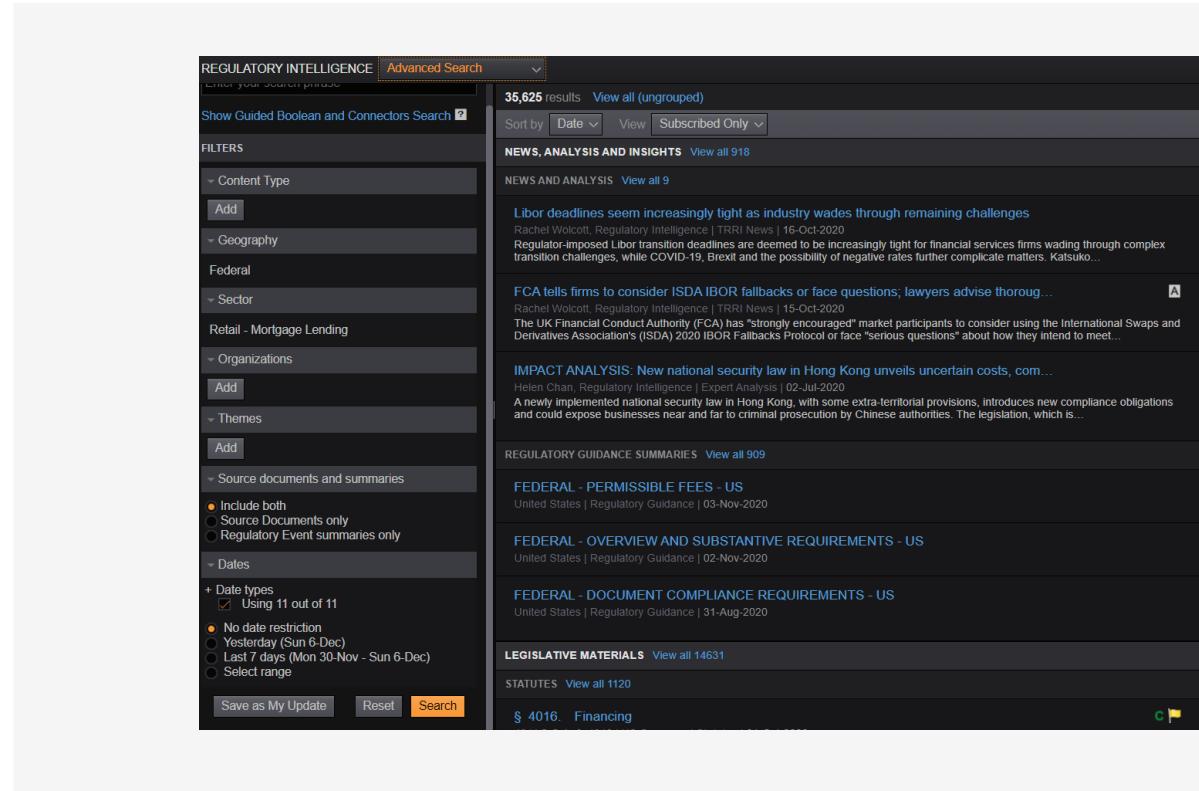
This allows you to narrow your search to one of seven regions:

- 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, ATSs 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.

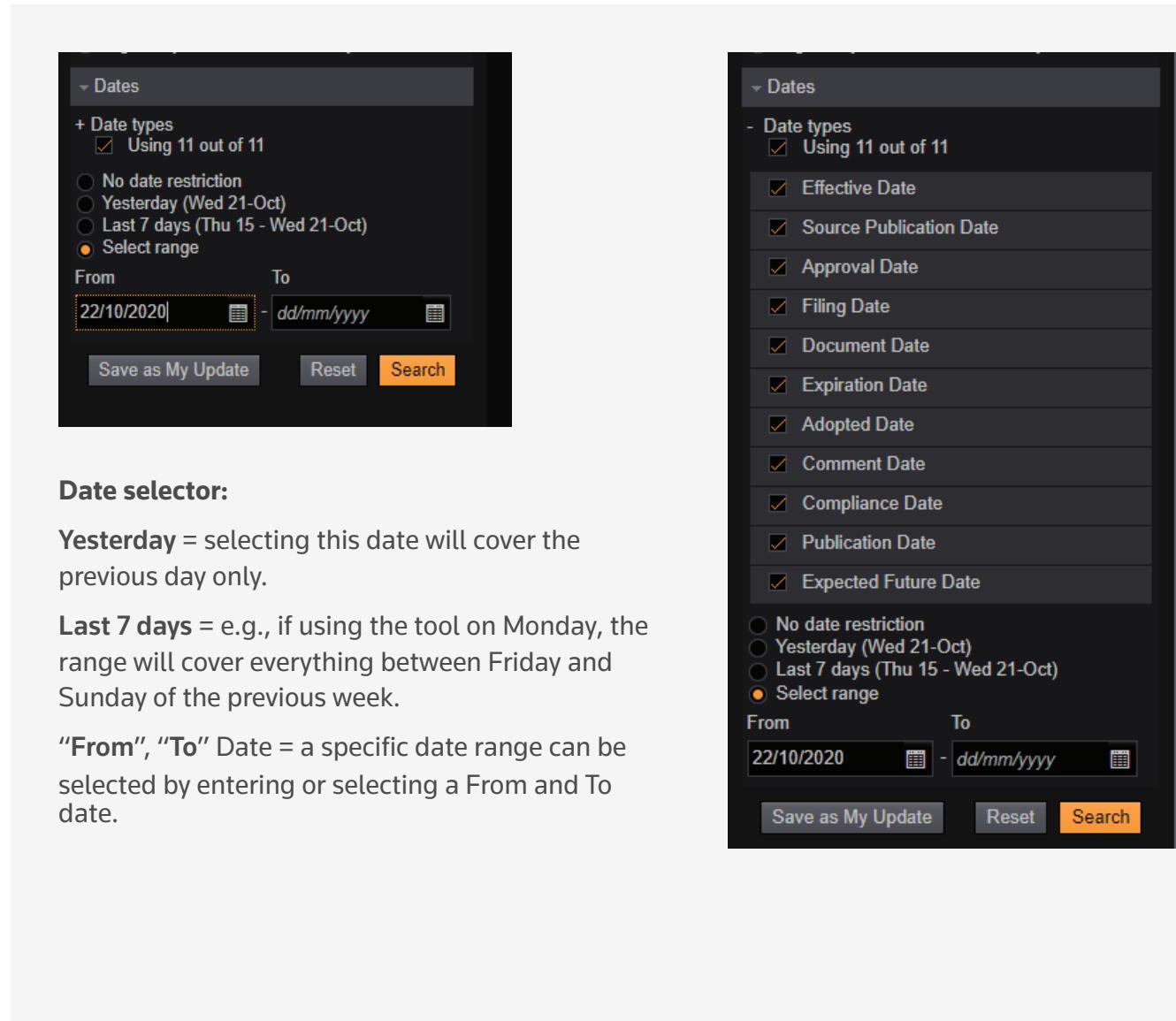
4.1 Advanced Search Parameters continued

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.



The screenshot shows the 'Dates' filter interface. It includes a list of 'Date types' with 'Using 11 out of 11' selected. Below this are radio buttons for 'No date restriction', 'Yesterday (Wed 21-Oct)', 'Last 7 days (Thu 15 - Wed 21-Oct)', and 'Select range', with 'Select range' being the selected option. A date range selector shows 'From 22/10/2020' and 'To dd/mm/yyyy'. At the bottom are 'Save as My Update', 'Reset', and 'Search' buttons.

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.

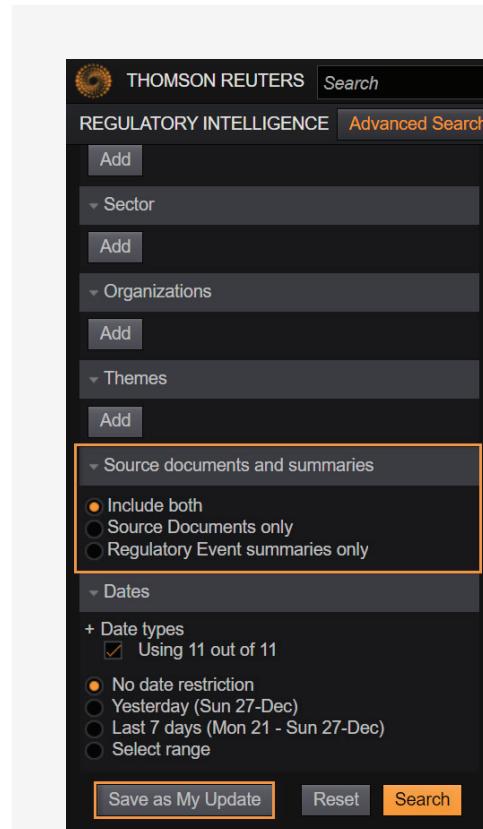
"From", "To" Date = a specific date range can be selected by entering or selecting a From and To date.

The right side of the screenshot shows a expanded list of 'Date types' including: Effective Date, Source Publication Date, Approval Date, Filing Date, Document Date, Expiration Date, Adopted Date, Comment Date, Compliance Date, Publication Date, and Expected Future Date. The 'Using 11 out of 11' checkbox is also checked.

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:

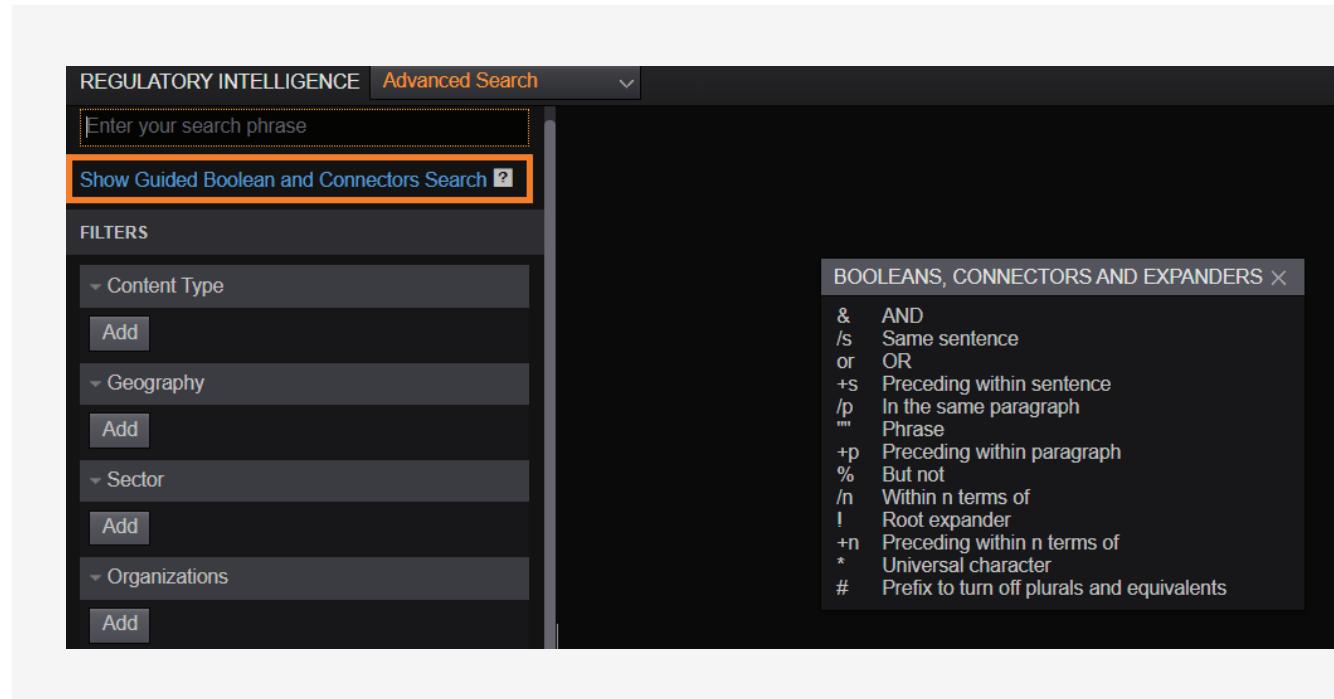
Select Show Guided Boolean and Connectors

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:

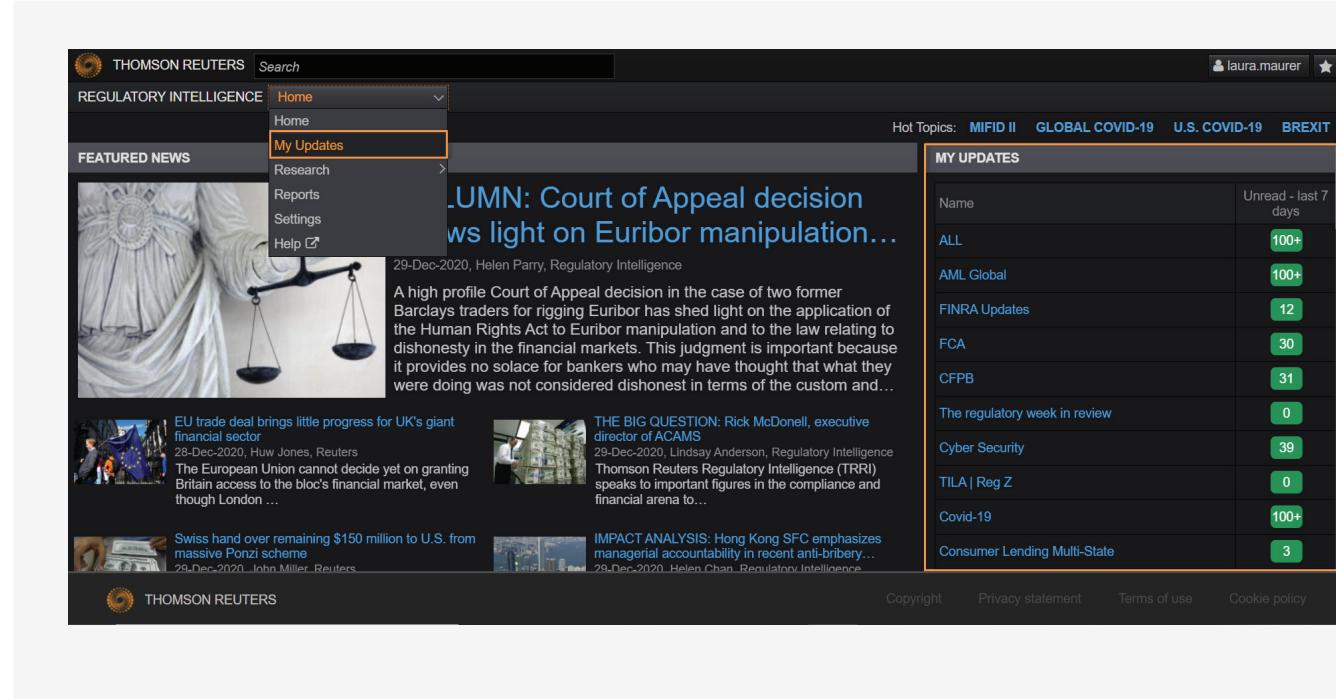
- **BANKING REFORM** will search for content with the words BANKING and, or REFORM. At a minimum, either term must appear in the document in order to appear in the results.
- **BANKING OR REFORM** will search for content with the words BANKING and, or REFORM. At a minimum, either term must appear in 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 shows the Thomson Reuters Regulatory Intelligence interface. The top navigation bar includes a search bar, user profile (laura.maurer), and a 'Hot Topics' section with links to MIFID II, GLOBAL COVID-19, U.S. COVID-19, and BREXIT. The main menu on the left has 'REGULATORY INTELLIGENCE' as the active category, with 'Home' and 'My Updates' highlighted. The 'FEATURED NEWS' section displays three articles: 'EU trade deal brings little progress for UK's giant financial sector', 'Swiss hand over remaining \$150 million to U.S. from massive Ponzi scheme', and 'IMPACT ANALYSIS: Hong Kong SFC emphasizes managerial accountability in recent anti-bribery...'. The 'MY UPDATES' section on the right lists various topics with their unread counts: 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+), and Consumer Lending Multi-State (3). The bottom of the page includes links for Copyright, Privacy statement, Terms of use, and Cookie policy.

5.1.1 Create My Updates

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

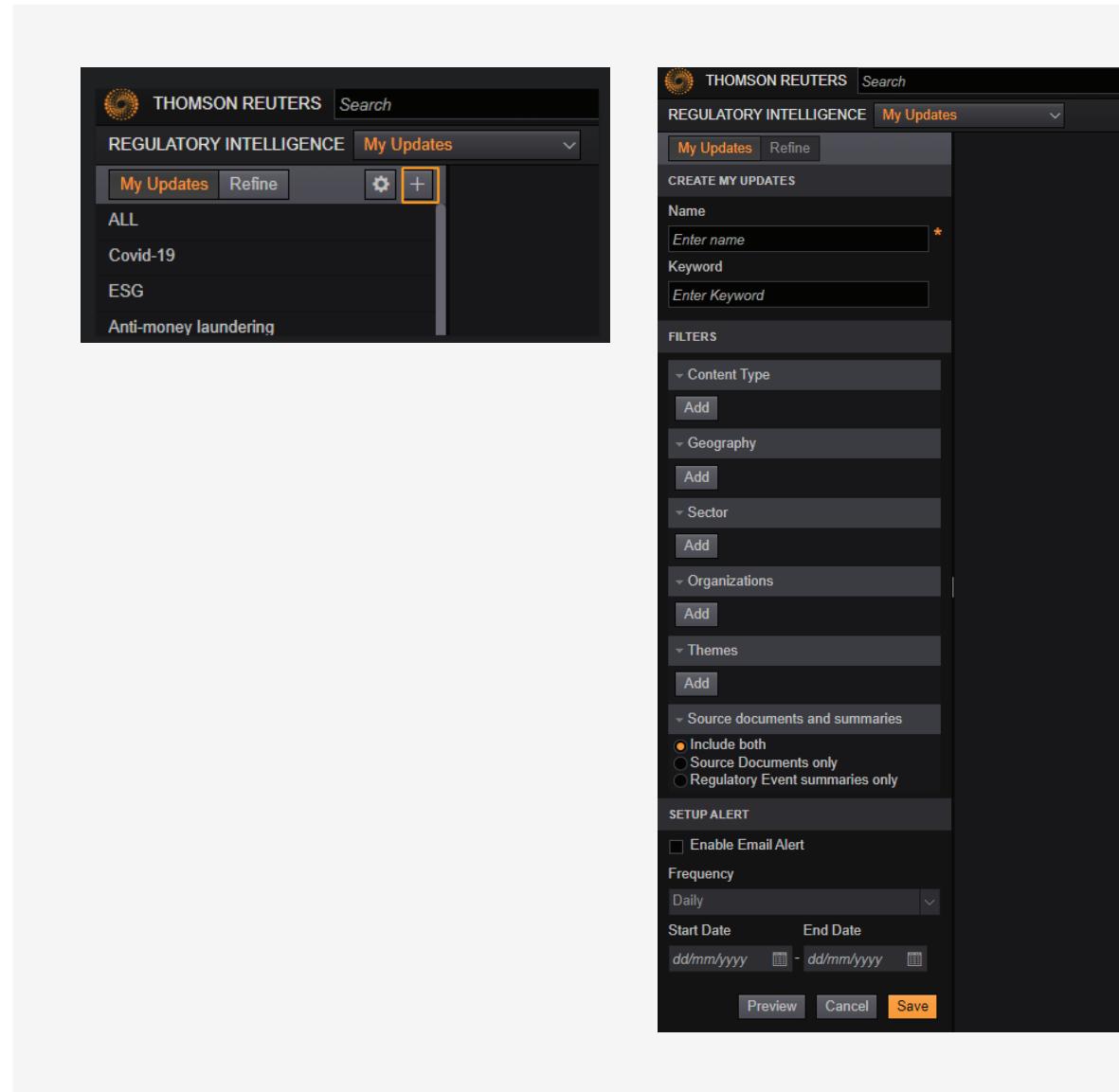
You will be prompted to create a name for the My Updates profile and then select your criteria using Keywords and/or the taxonomy parameters.

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.



The image contains two screenshots of the Thomson Reuters Regulatory Intelligence 'My Updates' creation interface. The left screenshot shows the 'My Updates' list with a '+' icon highlighted. The right screenshot shows the 'CREATE MY UPDATES' configuration page with various filters and alert setup options.

Left Screenshot: My Updates List

- Thomson Reuters Regulatory Intelligence 'My Updates' list.
- Items listed: ALL, Covid-19, ESG, Anti-money laundering.
- A '+' icon is highlighted in a yellow box.

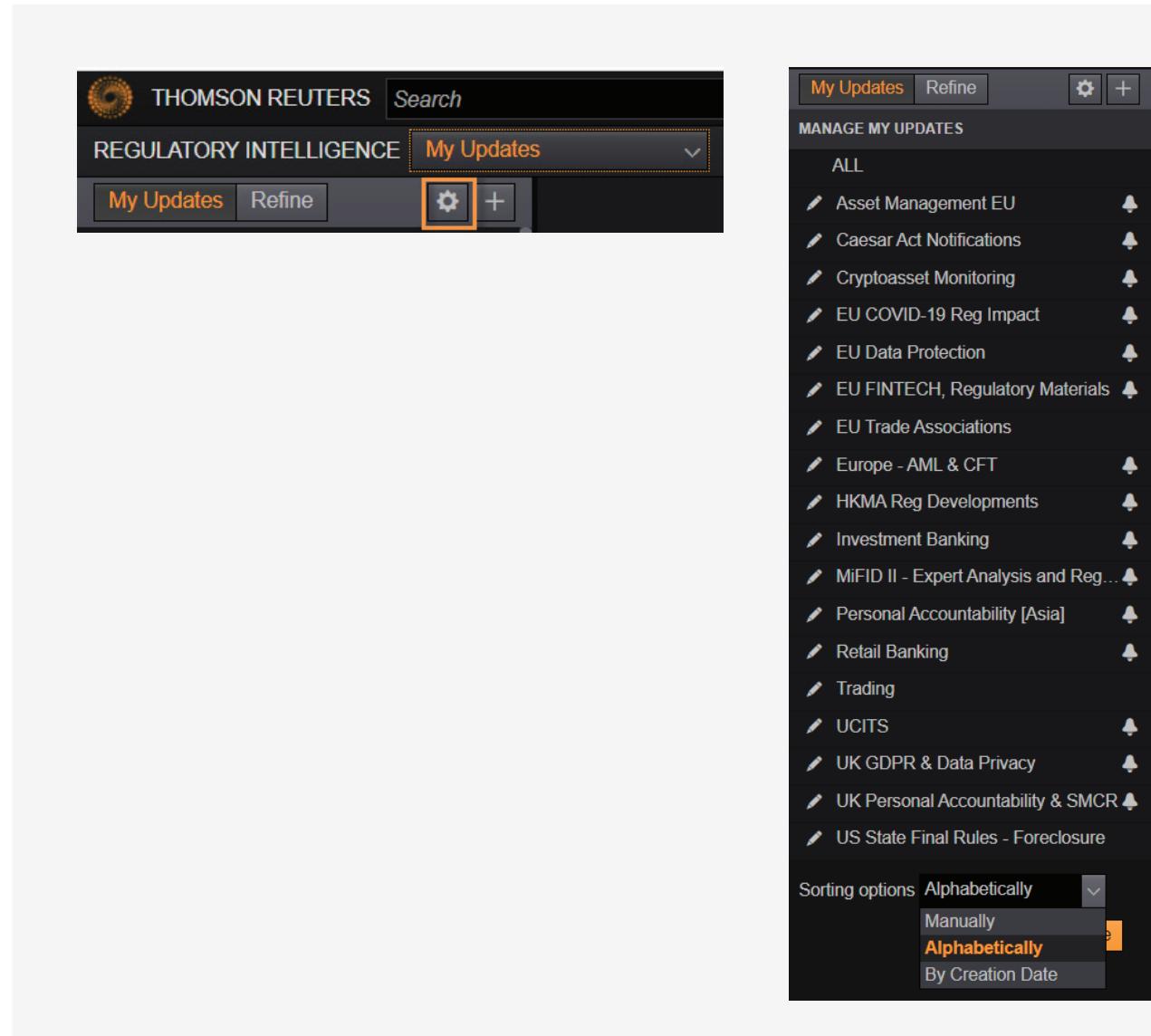
Right Screenshot: Create My Updates Form

- CREATE MY UPDATES**
- Name:** Enter name (required).
- Keyword:** Enter Keyword.
- FILTERS**
 - Content Type: Add
 - Geography: Add
 - Sector: Add
 - Organizations: Add
 - Themes: Add
 - Source documents and summaries:
 - Include both (selected)
 - Source Documents only
 - Regulatory Event summaries only
- SETUP ALERT**
 - Enable Email Alert (checkbox)
 - Frequency: Daily
 - Start Date: dd/mm/yyyy - End Date: dd/mm/yyyy
- Buttons:** Preview, Cancel, Save (Save is highlighted in a yellow box).

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.



The screenshot shows the 'My Updates' section of the Thomson Reuters Regulatory Intelligence interface. The top navigation bar includes the Thomson Reuters logo, a search bar, and a 'My Updates' dropdown. Below the navigation is a toolbar with 'My Updates' (highlighted with an orange box), 'Refine', and 'Edit' (pencil icon) buttons. The main area is titled 'MANAGE MY UPDATES' and lists various regulatory topics. A dropdown menu for 'Sorting options' is open at the bottom right, with 'Alphabetically' selected. The list of updates includes:

- 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 Reg...
- Personal Accountability [Asia]
- Retail Banking
- Trading
- UCITS
- UK GDPR & Data Privacy
- UK Personal Accountability & SMCR
- US State Final Rules - Foreclosure

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.

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** Subscribed Only ▼

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

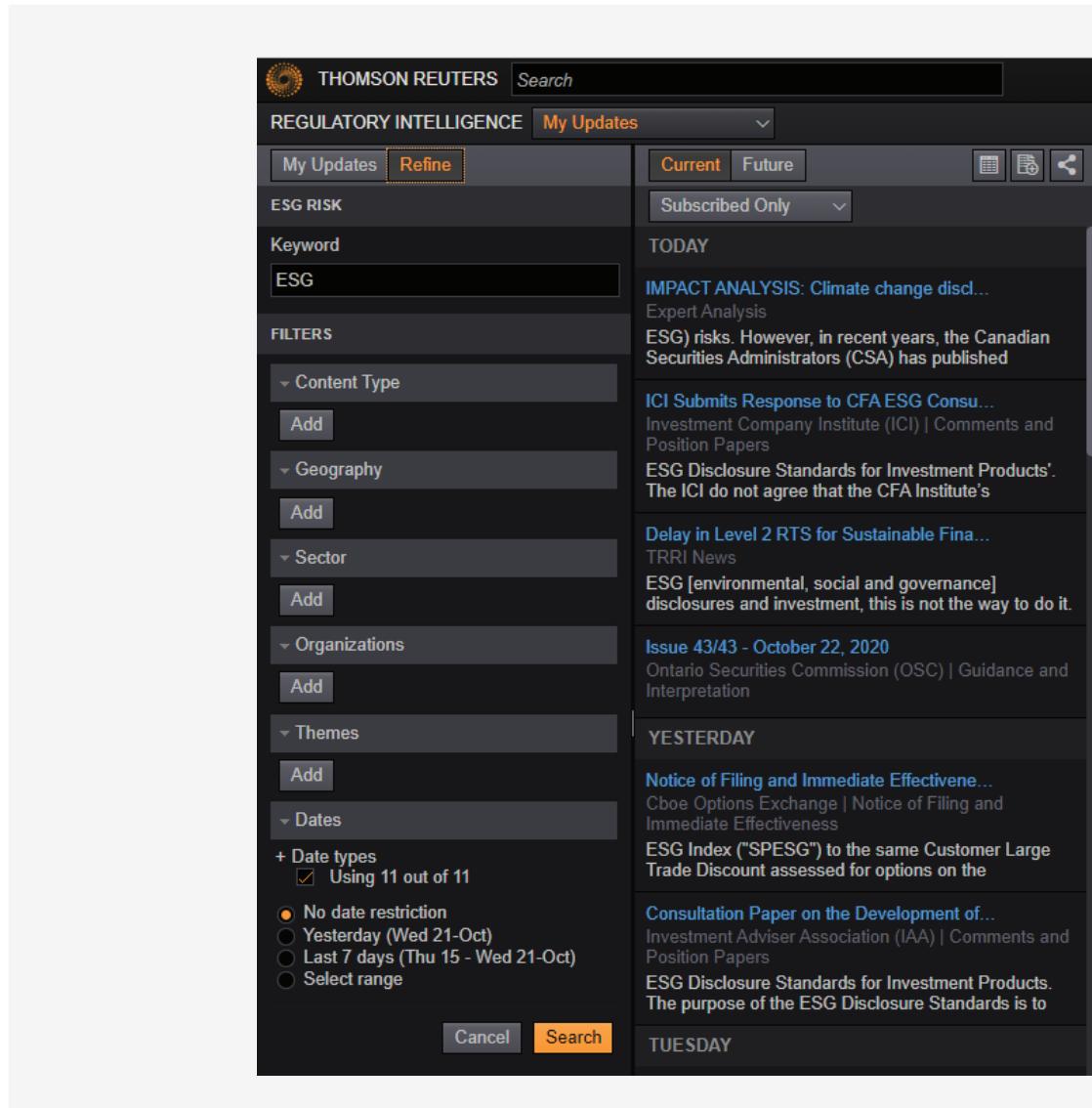
Consultation on procedural rules for pen...

ALL Effective Source Publication Approval Filing Document Expiration Adopted Comment Compliance Publication Expected Future

	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	1
Asset Management EU	28 Dec	29	30	31	1 Jan	2	3	
Caesar Act Notifications								
Cryptoasset Monitoring								
EU COVID-19 Reg Impact								
EU Data Protection								
EU FINTECH, Regulatory Materials	4	5	6	7	8	9	10	
EU Trade Associations								
Europe - AML & CFT								
HKMA Reg Developments								
Investment Banking	11	12	13	14	15	16	17	
MIID II - Expert Analysis and Regulat...								
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 shows the 'My Updates' search interface. The search bar contains the keyword 'ESG'. The 'Refine' tab is selected. The search results are categorized by date:

- TODAY**
 - IMPACT ANALYSIS: Climate change disc...
 - Expert Analysis
 - ESG) risks. However, 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**
 - 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
- TUESDAY**

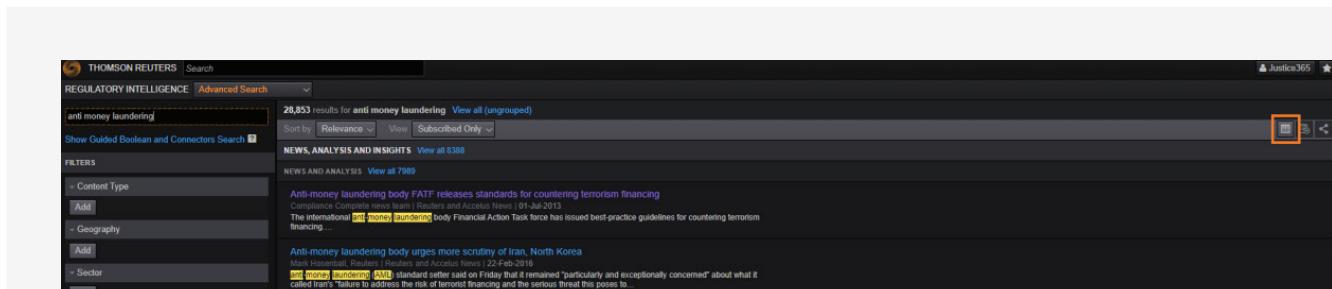
At the bottom, there are 'Cancel' and 'Search' buttons.

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.



28,853 results for anti money laundering [View all \(ungrouped\)](#)

Sort by: Relevance [View](#) Subscribed Only [View](#)

NEWS, ANALYSIS AND INSIGHTS [View all 8388](#)

NEWS AND ANALYSIS [View all 7999](#)

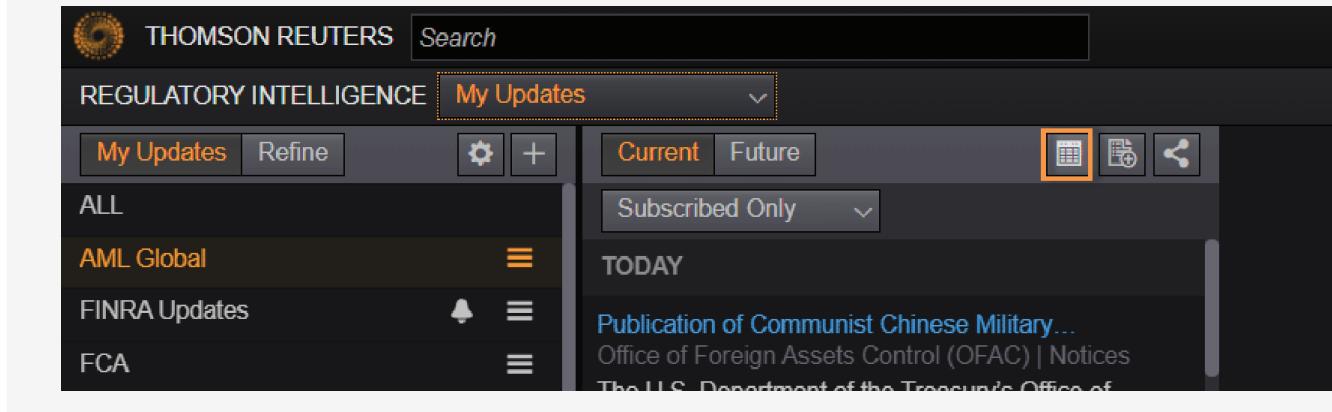
Anti-money laundering body FATF releases standards for countering terrorism financing

Anti-money laundering body FATF releases standards for countering terrorism financing

Anti-money laundering body urges more scrutiny of Iran, North Korea

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.



REGULATORY INTELLIGENCE [My Updates](#)

My Updates Refine [Current](#) [Future](#)

Subscribed Only

TODAY

Publication of Communist Chinese Military...

Office of Foreign Assets Control (OFAC) | Notices

The U.S. Department of the Treasury's Office of

6.3 Calendar, Additional Details

6.3.1 Color Coding

The calendar events are color coded according to their respective date type for easy reference.

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.



The screenshot shows a monthly calendar for December 2020. The days of the week are labeled at the top: Monday, Tuesday, Wednesday, Thursday, Friday, Saturday, Sunday. The days of the month are listed along the top edge. Each day cell contains a list of events. A tooltip is visible over the event on December 1st, which is color-coded orange. The tooltip displays the following details:

Survey on enhancing cross-AML/AIF Ministerial Adviso...
4.26.9.8.7 - Closing the Exa...
BPIInsights: December 05, 2...

The calendar interface includes a navigation bar at the top with buttons for 'Subscribed Only', 'Effective', 'Source Publication', 'Approval', 'Filing', 'Document', 'Expiration', 'Adopted', 'Comment', 'Compliance', 'Publication', 'Expected Future', and date selection buttons for 'Today', 'Week', and 'Month'.

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.

Subscribed Only		Friday 1 January 2021		Today Week Month						
Effective	Source Publication	Approval	Filing	Document	Expiration	Adopted	Comment	Compliance	Publication	Expected Future
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'									
Subscribed Only		October 2020		Today Week Month						
Effective	Source Publication	Approval	Filing	Document	Expiration	Adopted	Comment	Compliance	Publication	Expected Future
Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday				
Sep 28	29	30	Oct 1	2	3					
5	6	7	8	9	10					
2020 WI REG TEXT 1566837 (NS)	TITLE: Use Of Tobacco Revenues	2020 WA REG TEXT 1553779 (NS)	2019 California Assembly Bill No. 2	2020 HI REG TEXT 562048 (NS)	2020 CO REG TEXT 1566819 (NS)	LETTER FROM SECRETARY STEPHEN...				
SELF-REGULATORY ORGANIZATI...	215.9 5 to 16.10 - TENTS Recieve...	2020 OR REG TEXT 1553705 (NS)	Steel Concrete Reinforcing Bar Fro...	Extension of Covid-19 Related Ex...	STATEMENT FROM THE PRESS S...					
DRAFT REPORT on the proposal f...	EMPLOYER: DELTA AIRLINES	Extension of Veterans' Group Life	TITLE: Commercial Industrial Hemp...	Henrietta D Energy Storage LLC: S...	TITLE: Rule 115 - Podiatry Scope E...					
TITLE: An act relating to incre...	Connecticut Bill Analysis: 2020 H...	Louisiana Bill Digest: Engrossed 2...	TITLE: Employment security benefit...	2020 IL REG TEXT 567289 (NS)	2020 CO REG TEXT 1566821 (NS)					
TITLE: TAXINCOME TAX: Provides...	Consumer and Governmental Affairs...	TITLE: Emergency laws, civil relief...	Canada Recovery Benefits Ad S...	TEXAN MAN CHARGED IN \$24 MIL	2020 CO REG TEXT 1566822 (NS)					
2020 RI REG TEXT 1553136 (NS)	TITLE: Contract No. NFPHC-20-P	TITLE: Creates a COVID-19 interim	TITLE: Requires school districts to...	Calculation of the leverage ratio, du...	2020 CO REG TEXT 1567550 (NS)					
▶ See all	▶ See all	▶ See all	▶ See all	▶ See all	▶ See all					
12	13	14	15	16	17					
19	20	21	22	23	24					
TITLE: Telemedicine services cover...	VA LEGIS 1SS 7 (2020)	Time Limits and Other Periods Act (...	WV Notice 10-15-2020 - COVID-19	reg. 2 Amendment of the Health Pro...	para. 1	TITLE: PUBLIC HEALTH: Provides...				
New Jersey Senate Committee Stat...	National Advisory Council on Indian...	COVID-19 Related Measures Act (...	TITLE: Relates to providing voters a...	Real Estate Appraisals	para. 1					
New Jersey Assembly Committee S...	UNITED STATES ATTORNEY SHA...	Emergency Program Act (B C Reg	Household Credit Market Report 20...	Kansas Governor's Message, 10/16/...	Kansas Governor's Message, 10/17/...					
TITLE: Real estate document notar...	U.S. ATTORNEY MCALLISTER: 14...	para. 15 Restricted businesses and...	Common Alloy Aluminum Sheet Fro...	2020 MA REG TEXT 1563515 (NS)	Arrangement of SI					
TITLE: Families First Coronavirus R...	Louisiana Bill Digest: Engrossed 2...	reg. 1 Citation, commencement and...	2020 UT REG TEXT 562772 (NS)	Bulletin 2020-40-INS	para. 1					
Minnesota House Journal: 2020 Re...	TITLE: COMMENDATIONS: Comm...	reg. 4 Consequential amendment of...	Common Alloy Aluminum Sheet Fro...	Notice of Proposed Information Coll...	2020 RI REG TEXT 1563515 (NS)					
▶ See all	▶ See all	▶ See all	▶ See all	▶ See all	▶ See all					
26	27	New Jersey Assembly Committee Statement, A.B. 4836, 10/21/2020								
TITLE: Appropriates \$30 million to...	New Jersey Governor's Message, 2...	Notification of Temporary Travel Re...	50 LA ADC Pt III: \$ 2303 et - Me...							
TITLE: FEES/LICENSES/PERMITS	2020 LA REG TEXT 1565514 (NS)	2020 WA REG TEXT 1564001 (NS)	TITLE: Hospices, certain home car...	Public consultation on draft of proj...						
TITLE: Protecting Businesses and...	TITLE: GAMBLING/VIDEO POKER	2020 WA REG TEXT 1568100 (NS)	Notice of Public Hearing and Busin...	Notice of Filing and Immediate Eff...						
EXECUTIVE CALENDAR-CONTIN...	TITLE: CONGRESS: Memorializes	TITLE: Senate Committee Amendm...	Admission and Training of Midship...							
IN THE MATTER OF ONLINE POLI...	TITLE: Relates to requiring infection...	Michigan Senate Fiscal Agency Bill	TITLE: Nursing homes, certified nur...							
TITLE: Requires issuance of tempo...	Resilience in Crisis: Trends Beyond...	New Jersey Assembly Committee S...	Sun Streams 2, LLC, Supplemental...							
▶ See all	▶ See all	▶ See all	▶ See all	▶ See all	▶ See all					
29	30									
Geography	North America	me. para. 1	51-11C-40100	Section C401-Ge...						
▼ United States of America	▼ United States of America	me. para. 1	51-1C-405025	Section C405 2.5						
▼ New Jersey		me. Notice of Filing and Immediate Eff...	51-50-1203	Section 1203-Ventila...						
Organizations	Legislative bodies		Annual report on the status of the st...	51-11C-40244	Section C402 5.4-					
▼ New Jersey Legislature		reg. 2 Amendment of Regulations	51-11C-403234	Table C403 2.3/4.						
		Notice of General Order - Ontario I...	51-11C-40802	Section C408 2-M.						
		para. 1		▶ See all						

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.

THOMSON REUTERS Search

REGULATORY INTELLIGENCE Advanced Search

Subscribed Only  19 - 25 October 2020  Today Week Month 

Effective Source Publication Approval Filing Document Expiration Adopted Comment Compliance Publication Expected Future

Oct 19 Monday 20 Tuesday 21 Wednesday 22 Thursday 23 Friday 24 Saturday 25 Sunday

FILTERS

- Content Type  Add
- Geography  Add
- Sector  Add
- Organizations  Add
- Themes  Add
- Source documents and summaries
 - Include both
 - Source Documents only
 - Regulatory Event summaries only
- Dates
 - + Date types  Using 11 out of 11
 - No date range
 - Yesterday (Wed 21-Oct)
 - Last 7 days (Thu 15 - Wed 21-Oct)
 - Select range

Search  

Oct 19   20   21   22   23   24   25

Events

Search Results

19 - 25 October 2020

Subscribed Only

Effective **Source Publication** **Approval** **Filing** **Document** **Expiration** **Adopted** **Comment** **Compliance** **Publication** **Expected Future**

Monday **Tuesday** **Wednesday** **Thursday** **Friday** **Saturday** **Sunday**

Oct 19   20   21   22   23   24   25

Oct 2020

October 2020

Navigation

Search  

Oct 19   20   21   22   23   24   25

Oct 2020

October 2020

Navigation

Search  

ment **Compliance** Publication Expected Future

Oct 2020

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.

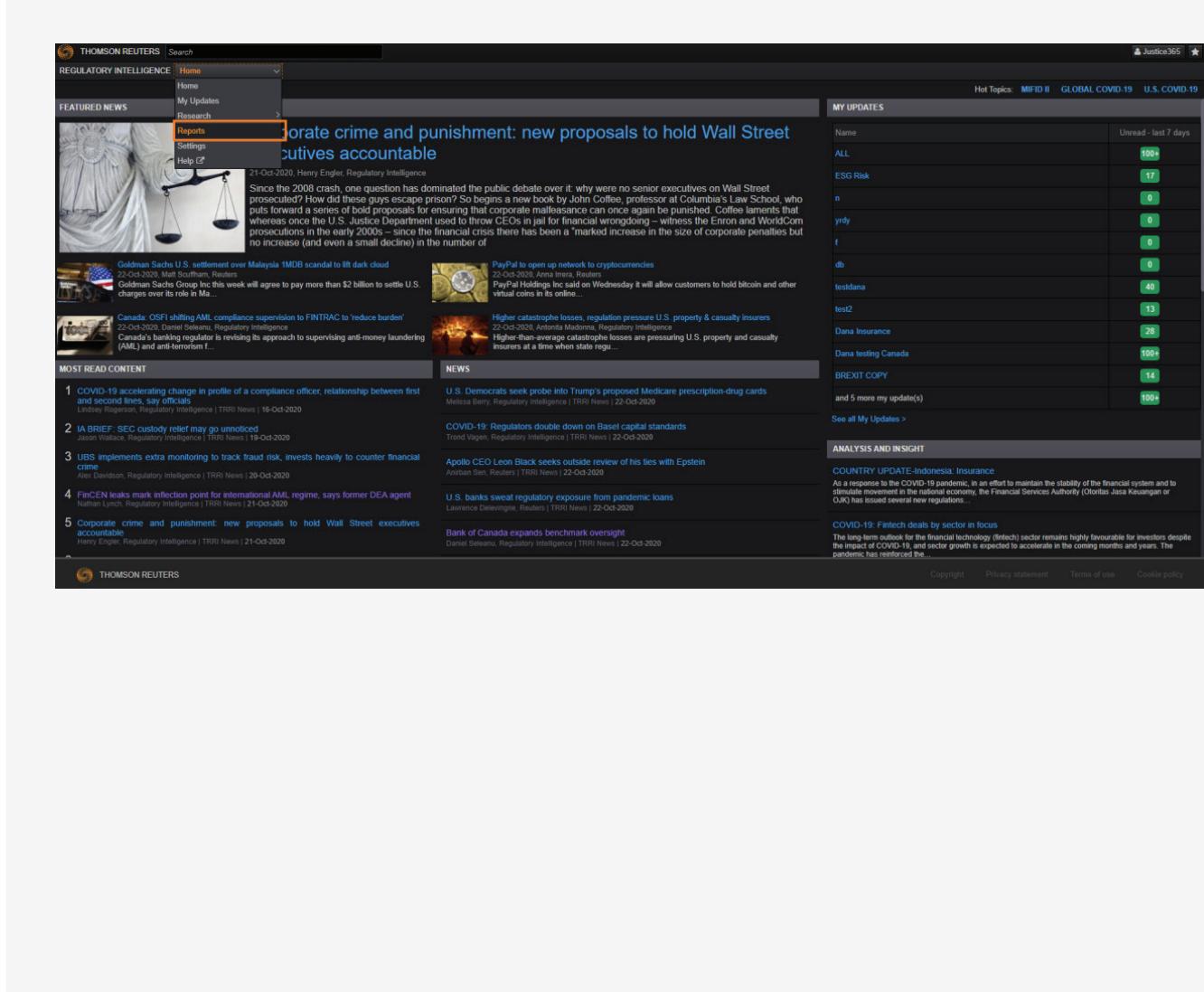
Calendar Quick Tip: From the Calendar view, you can easily toggle back to your My Update profile or list of search results by selecting the List View icon.



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.

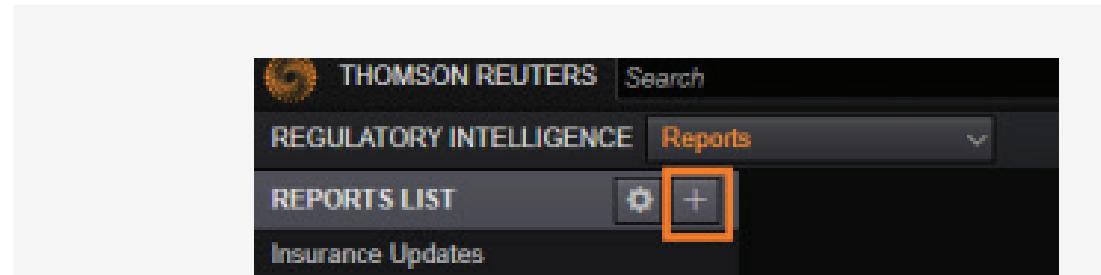
From the Homepage drop-down menu, select Reports to view existing reports or to create a new report.



The screenshot shows the Thomson Reuters Regulatory Intelligence homepage. The top navigation bar includes a search bar, a user icon, and a 'Home' button. Below the search bar, there are links for 'Regulatory Intelligence', 'Home', 'My Updates', 'Research', 'Reports', 'Settings', and 'Help'. The 'Reports' link is highlighted with an orange box. The main content area features a 'FEATURED NEWS' section with several news articles. One article is highlighted: 'Corporate crime and punishment: new proposals to hold Wall Street executives accountable' by Henry Engler, dated 21-Oct-2020. Below this, there are sections for 'MOST READ CONTENT' and 'NEWS'. On the right side, there is a 'MY UPDATES' sidebar showing a list of unread updates with names like 'ALL', 'ESG Risk', 'n', 'yrdy', 'f', 'db', 'testdana', 'test2', 'Dana Insurance', 'Dana testing Canada', and 'BREXIT COPY'. At the bottom right, there are links for 'Copyright', 'Privacy statement', 'Terms of use', and 'Cookie policy'.

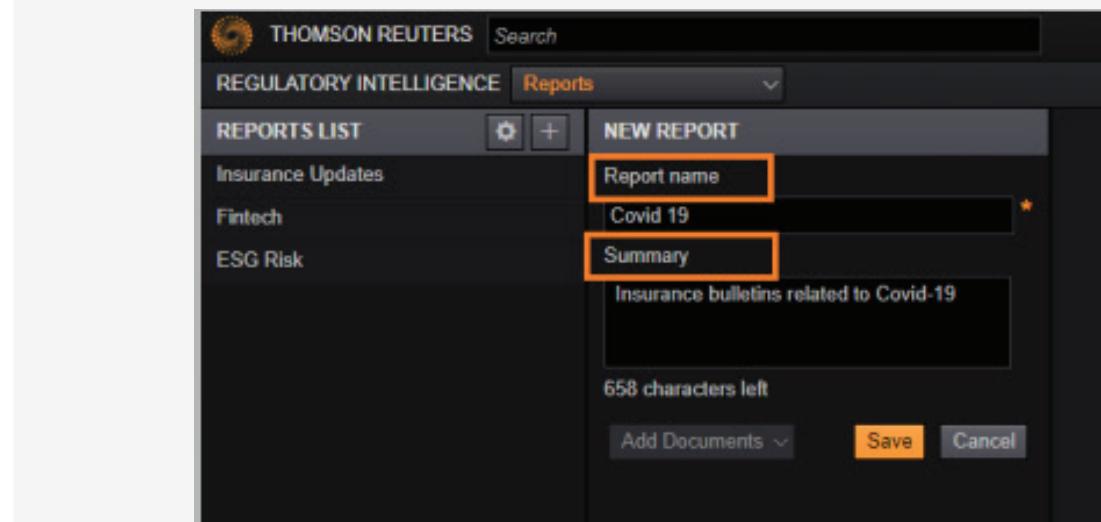
7.1 Create a New Report

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



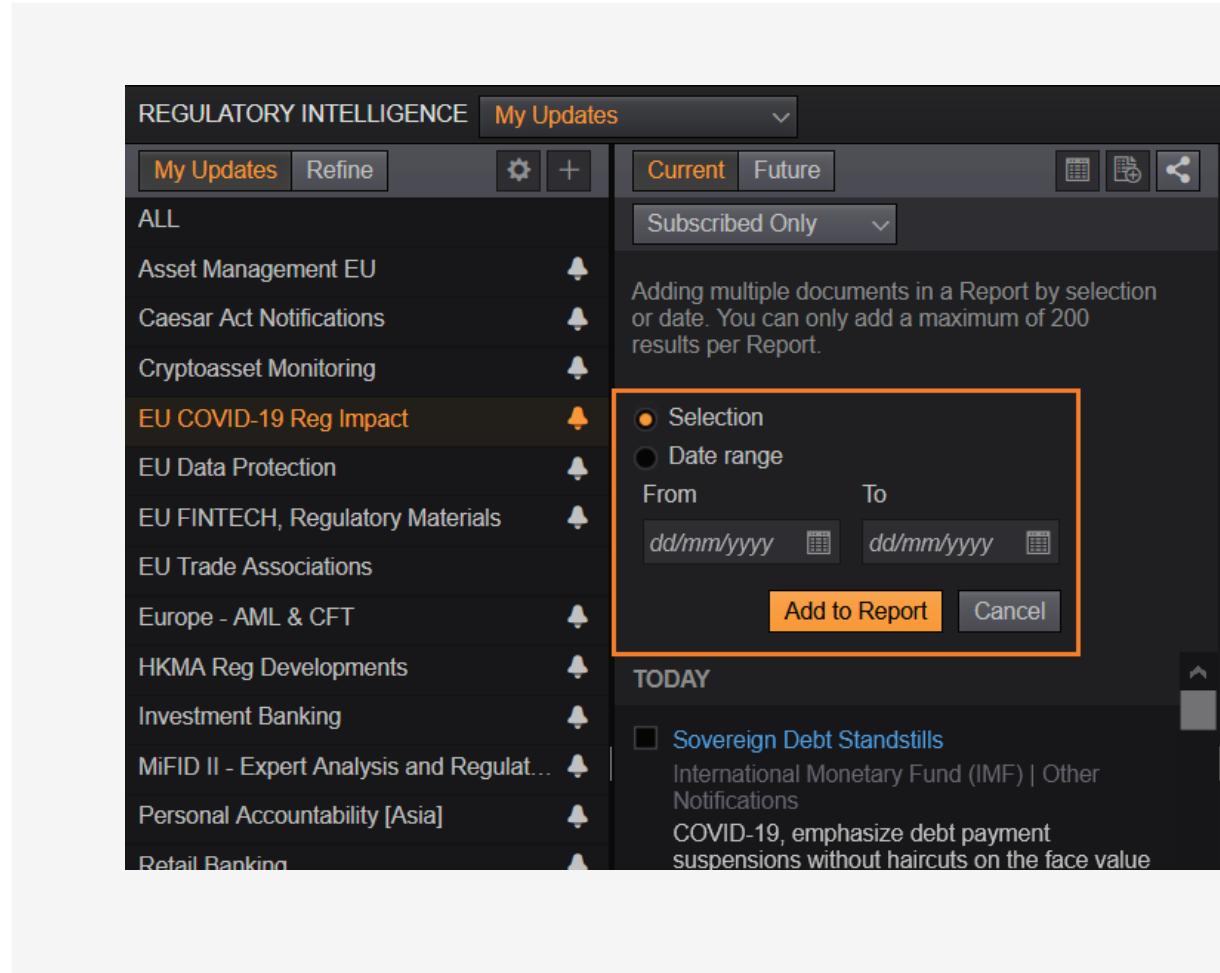
You will be prompted to create a Report Name (required) and a Summary (optional).

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.

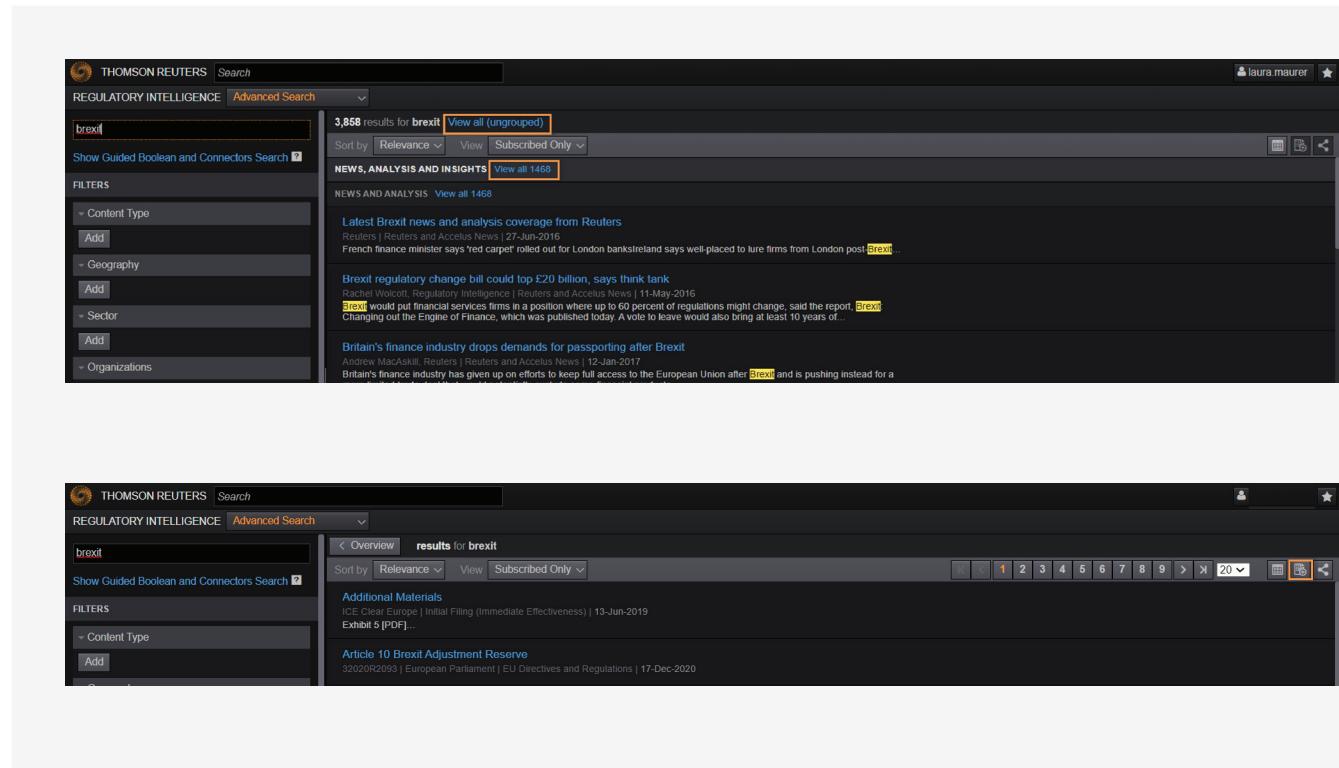


The screenshot shows the 'REGULATORY INTELLIGENCE' interface with the 'My Updates' tab selected. A modal dialog box is open, titled 'Adding multiple documents in a Report by selection or date. You can only add a maximum of 200 results per Report.' The dialog contains two radio button options: 'Selection' (selected) and 'Date range'. It includes 'From' and 'To' date fields with calendar icons. At the bottom are 'Add to Report' and 'Cancel' buttons. The background list of 'My Updates' profiles includes: ALL, Asset Management EU, Caesar Act Notifications, Cryptoasset Monitoring, EU COVID-19 Reg Impact (highlighted with a red box), 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], and Retail Banking. A note at the bottom right of the dialog box states: 'COVID-19, emphasize debt payment suspensions without haircuts on the face value'.

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.



The screenshots illustrate the search and results process:

Top Screenshot (Search Results):

- Search term: brexit
- Results: 3,858 results for brexit
- Options: View all (ungrouped), Sort by Relevance, View, Subscribed Only
- Section: NEWS, ANALYSIS AND INSIGHTS (View all 1468)
- Articles listed:

 - Latest Brexit news and analysis coverage from Reuters
 - Brexit regulatory change bill could top £20 billion, says think tank
 - Britain's finance industry drops demands for passporting after Brexit

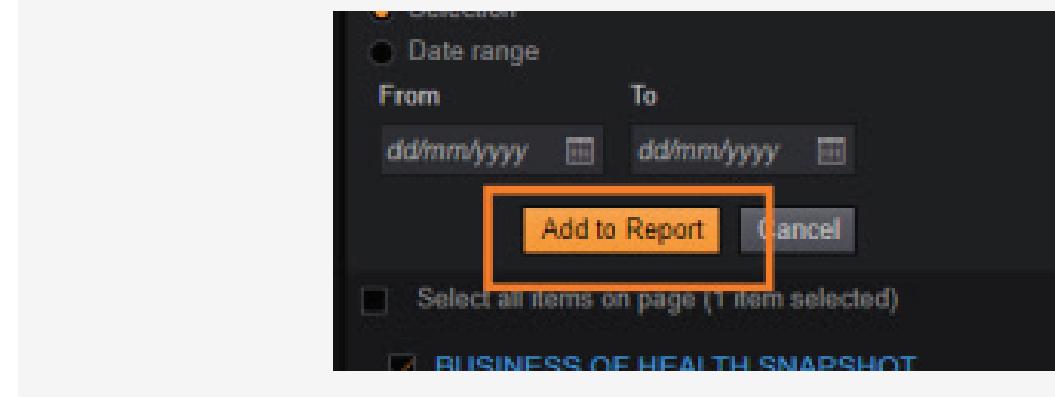
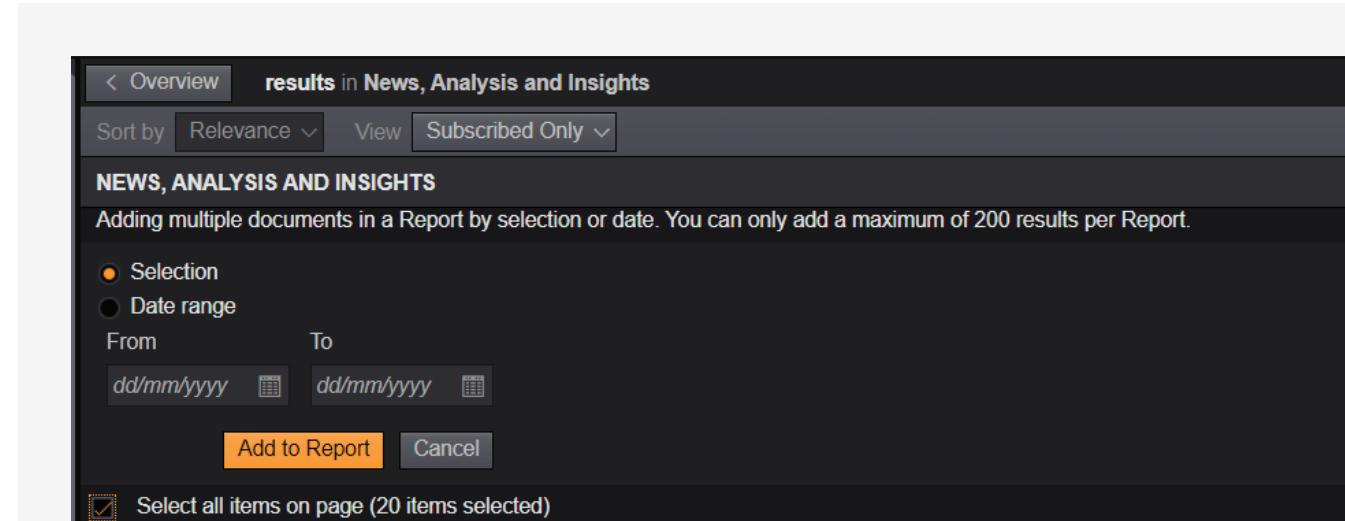
Bottom Screenshot (Results Page):

 - Search term: brexit
 - Results: results for brexit
 - Options: Sort by Relevance, View, Subscribed Only
 - Section: Additional Materials
 - Article listed: Article 10 Brexit Adjustment Reserve

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.

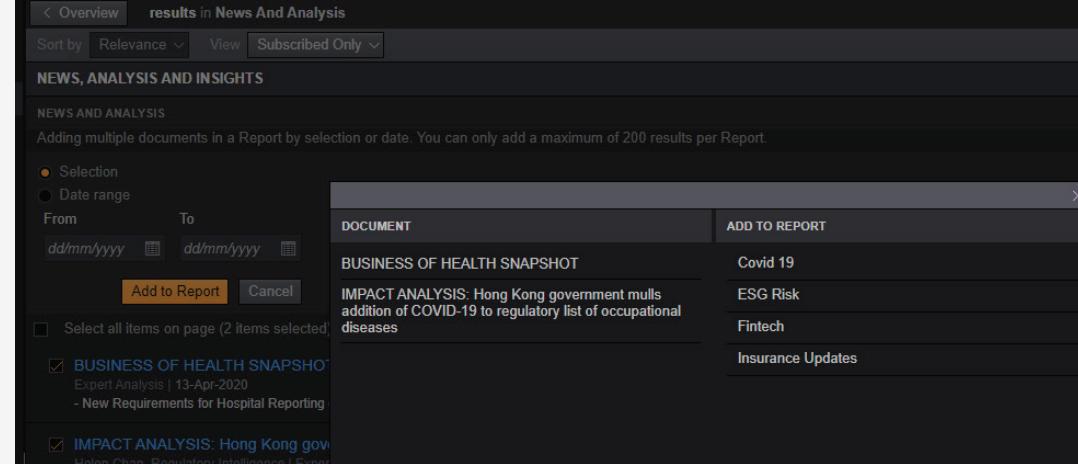
To move the selected documents into your report, select Add to Report.



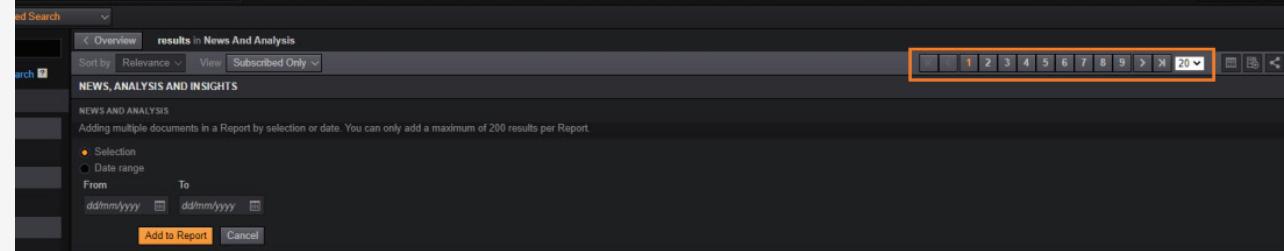
7.1.1 Adding Documents: From Search continued

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.



The screenshot shows a 'results in News And Analysis' search results page. A modal dialog box is open, titled 'Add to Report'. The dialog lists two selected items: 'BUSINESS OF HEALTH SNAPSHOT' and 'IMPACT ANALYSIS: Hong Kong government mulls addition of COVID-19 to regulatory list of occupational diseases'. To the right of each item is a 'DOCUMENT' column and an 'ADD TO REPORT' column. The 'ADD TO REPORT' column contains the categories 'Covid 19', 'ESG Risk', 'Fintech', and 'Insurance Updates'. At the bottom left of the dialog is a checkbox for 'Select all items on page (2 items selected)'. At the bottom right is a close 'X' button.

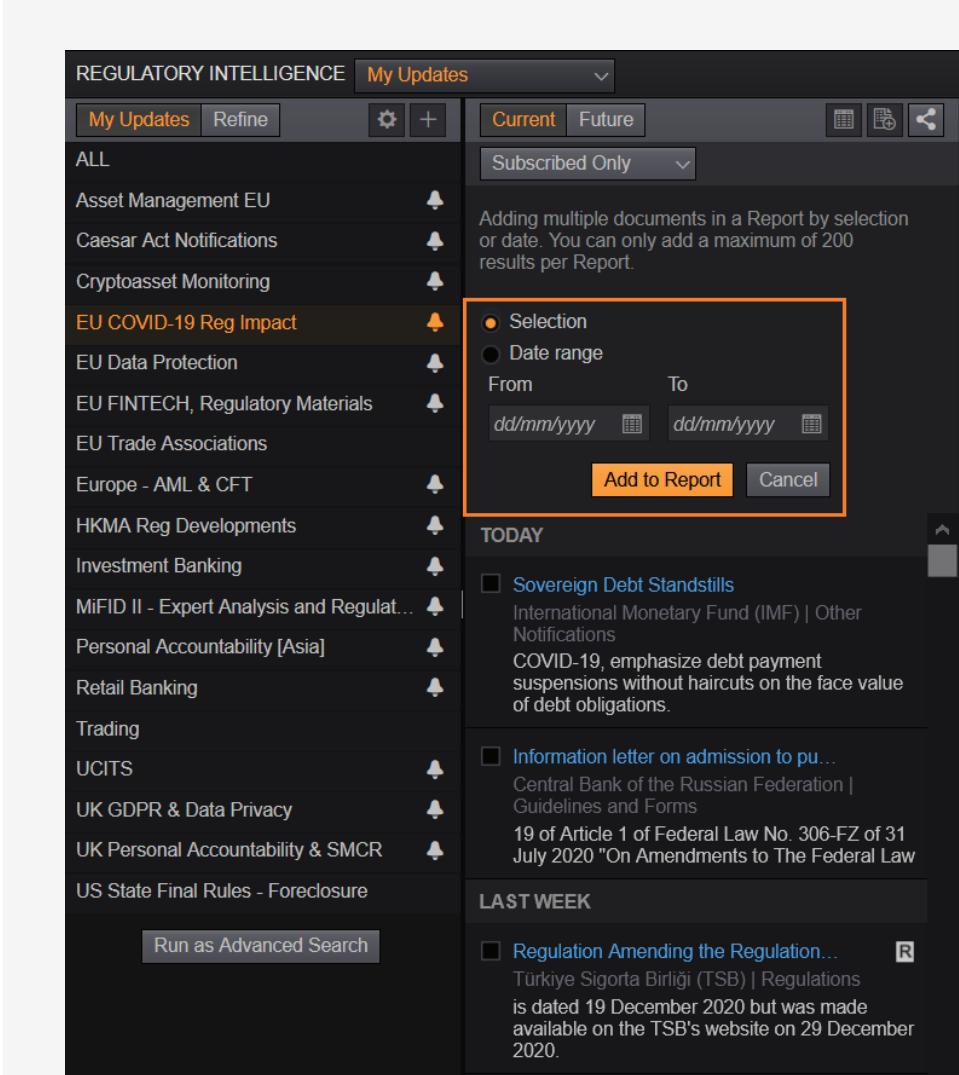


The screenshot shows the same 'results in News And Analysis' search results page as the previous screenshot. The page navigation toolbar at the top right is highlighted with a red box, showing page numbers 1 through 20, with page 20 currently selected. The rest of the interface is identical to the previous screenshot, showing the search results and the 'Add to Report' dialog.

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.



The screenshot shows the 'My Updates' section of the Thomson Reuters Regulatory Intelligence interface. The top navigation bar includes 'REGULATORY INTELLIGENCE', 'My Updates' (selected), 'Refine' (disabled), and various toolbar icons. Below this is a filter bar with 'Current' and 'Future' buttons, a date range selector, and a 'Subscribed Only' dropdown. A modal window is open, titled 'Adding multiple documents in a Report by selection or date. You can only add a maximum of 200 results per Report.' It contains two radio buttons: 'Selection' (selected) and 'Date range', and two date input fields with calendar icons. Below these are 'From' and 'To' labels. At the bottom of the modal are 'Add to Report' and 'Cancel' buttons. The main content area lists various 'My Update' profiles: Asset Management EU, Caesar Act Notifications, Cryptoasset Monitoring, EU COVID-19 Reg Impact (selected), 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, and US State Final Rules - Foreclosure. Each profile has a small bell icon to its right. At the bottom of the list is a 'Run as Advanced Search' button. To the right of the list, there are sections for 'TODAY' and 'LAST WEEK' with corresponding document entries.

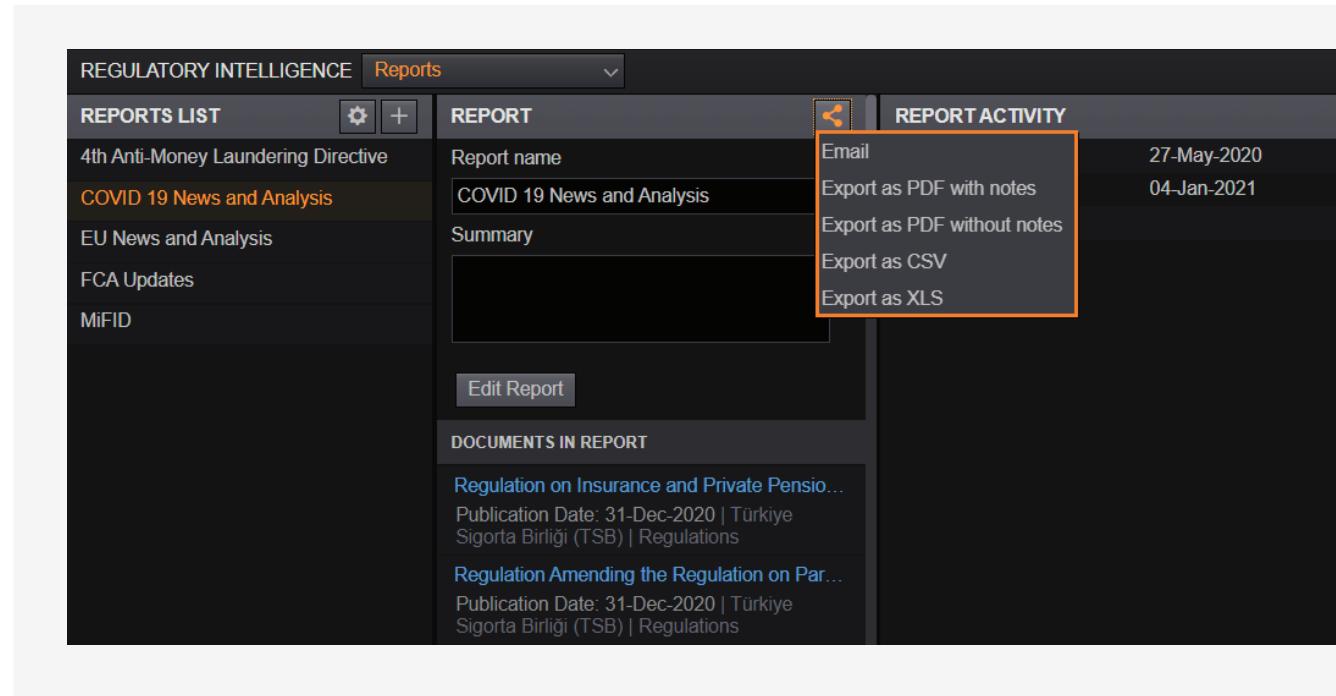
7.2 Share Reports

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 shows the 'REPORT ACTIVITY' context menu for the 'COVID 19 News and Analysis' report. The menu items are:

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

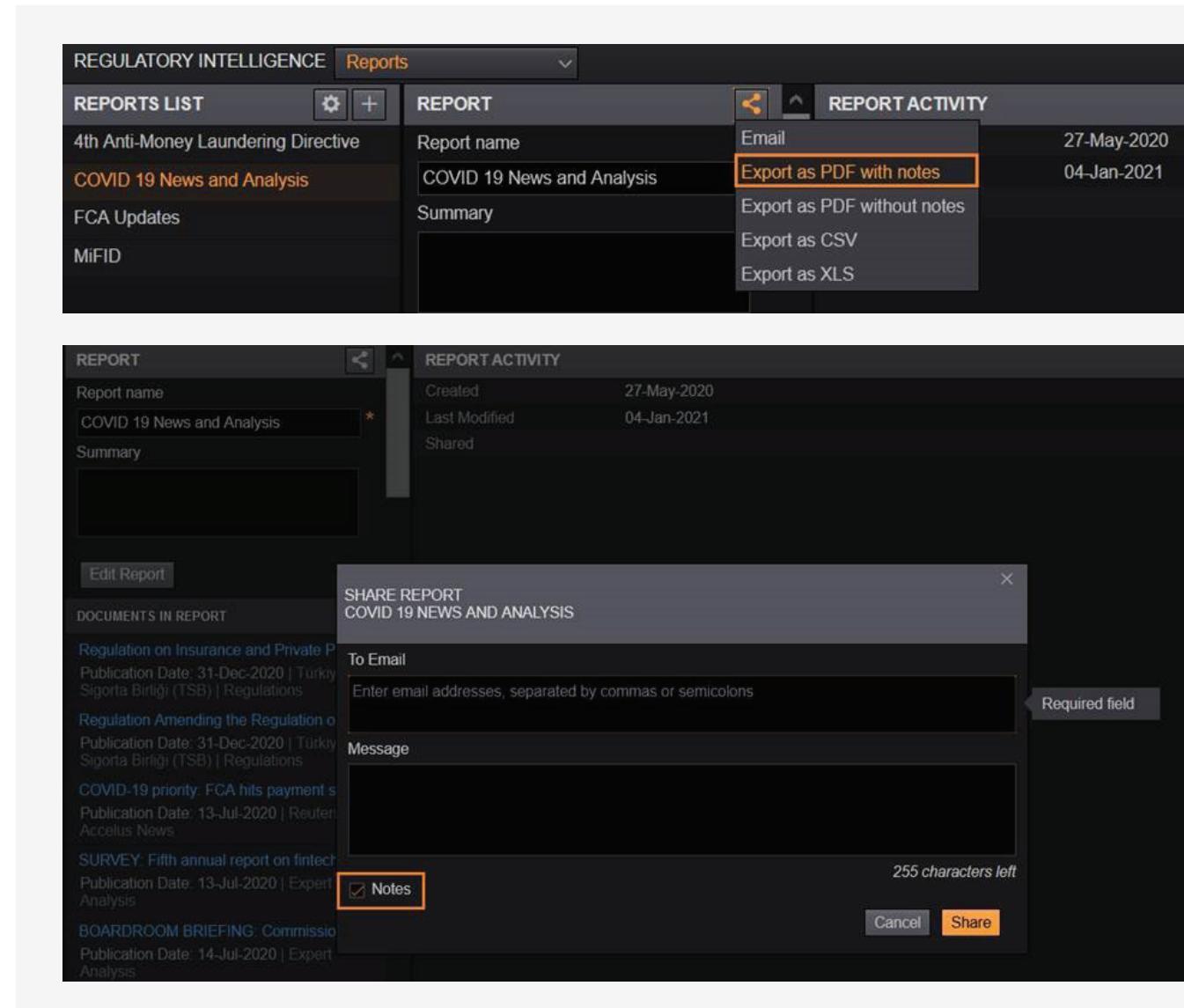
The 'Export as XLS' option is highlighted with an orange box. The 'REPORT ACTIVITY' section also displays the report's name, summary, and two dates: 27-May-2020 and 04-Jan-2021.

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.

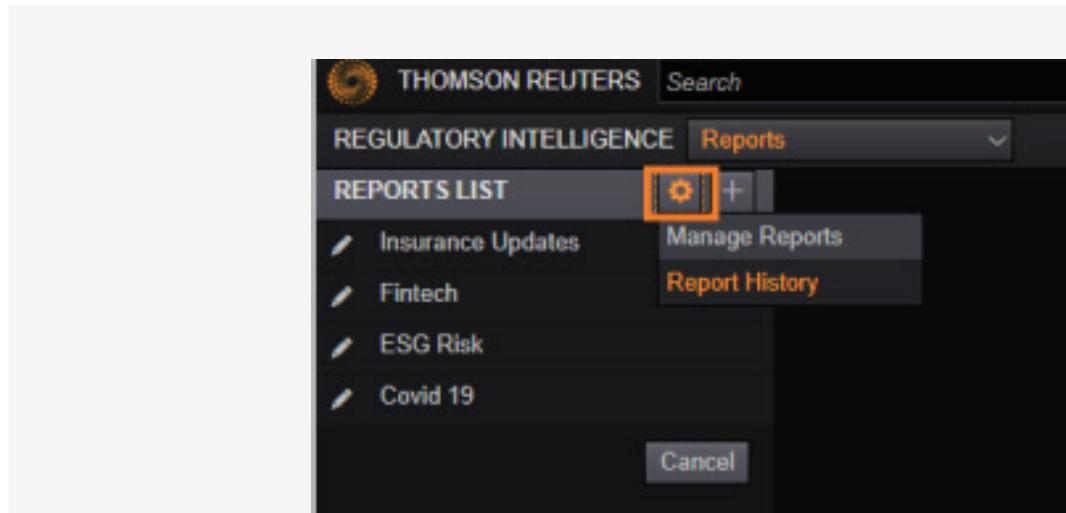
Annotations cannot be exported in the CSV.



The screenshot displays the 'REPORT ACTIVITY' section of the interface. For the report 'COVID 19 News and Analysis', there are two main export options under 'Email': 'Export as PDF with notes' (highlighted with an orange box) and 'Export as PDF without notes'. Below these, there are additional options: 'Export as CSV', 'Export as XLS', and 'Email' (with an orange icon). The 'Email' option is also highlighted with an orange box. The 'SHARE REPORT' dialog box is open, showing the report name 'COVID 19 NEWS AND ANALYSIS'. It includes fields for 'To Email' (with a placeholder 'Enter email addresses, separated by commas or semicolons' and a 'Required field' indicator) and a 'Message' area (with a character count of '255 characters left'). A checkbox for 'Notes' is checked and highlighted with an orange box. At the bottom right of the dialog are 'Cancel' and 'Share' buttons.

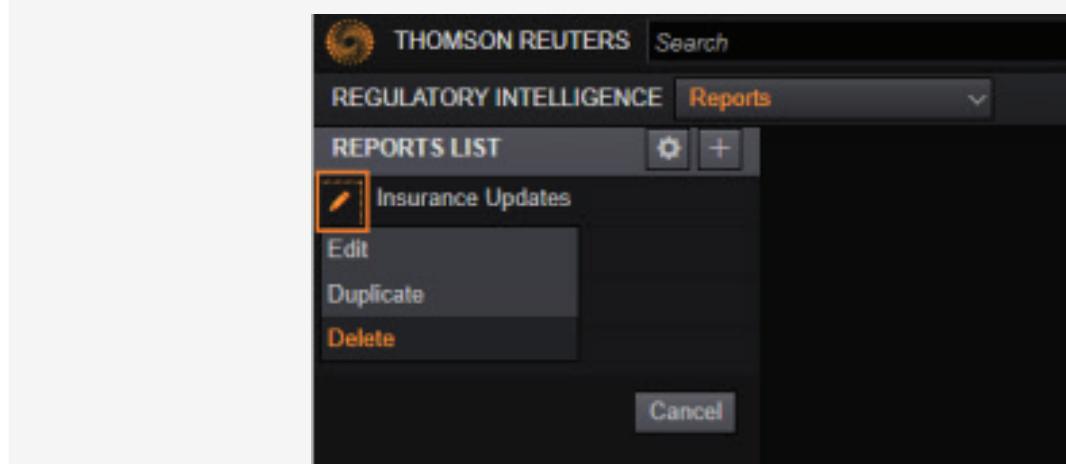
7.3 Manage Reports

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



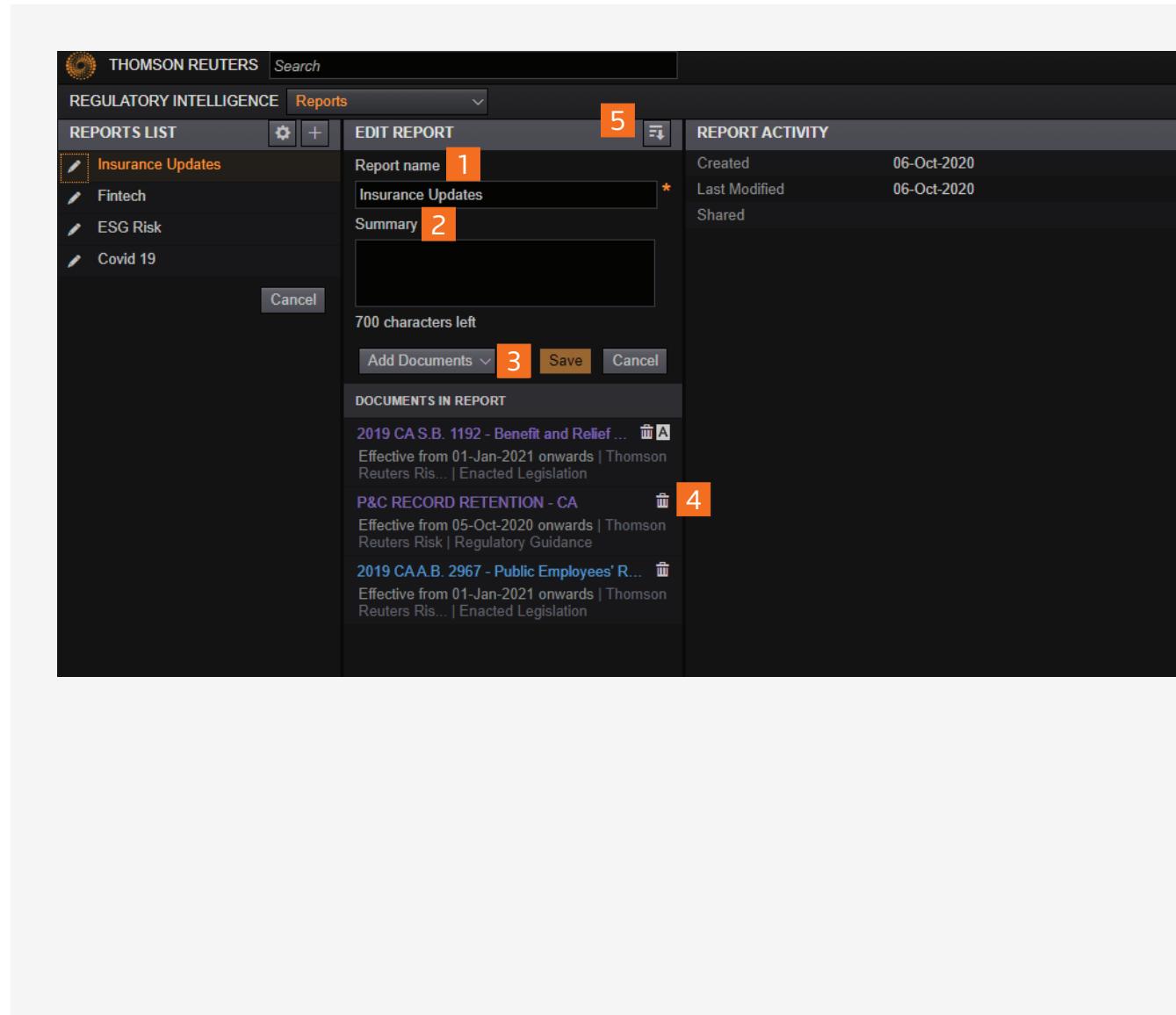
7.3.1 Manage Reports

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).

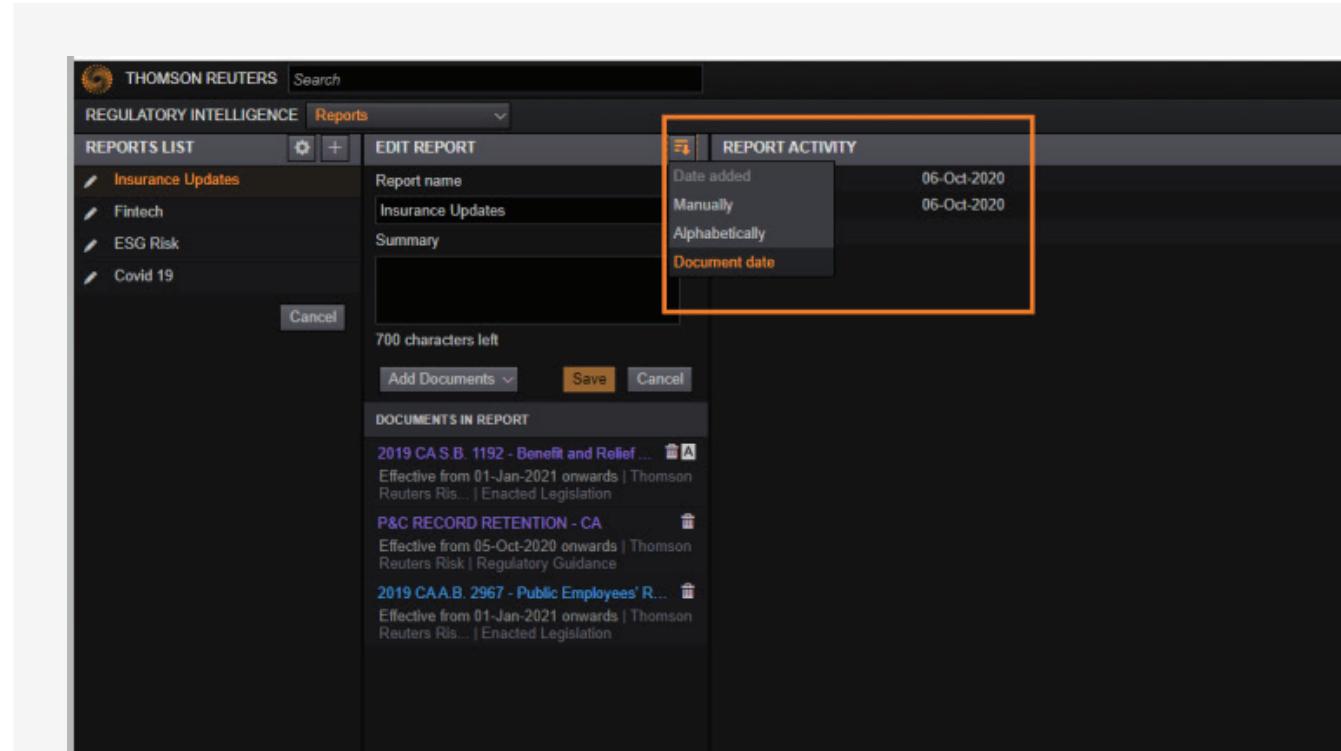


The screenshot shows the 'Edit Report' dialog box in the Thomson Reuters Regulatory Intelligence interface. The dialog is centered over a 'REPORTS LIST' sidebar which contains items like 'Insurance Updates', 'Fintech', 'ESG Risk', and 'Covid 19'. The 'EDIT REPORT' section contains fields for 'Report name' (1) and 'Summary' (2). Below these are buttons for 'Add Documents' (3) and 'Save'. The 'DOCUMENTS IN REPORT' section lists three documents: '2019 CA S.B. 1192 - Benefit and Relief ...', 'P&C RECORD RETENTION - CA', and '2019 CAA.B. 2967 - Public Employees' R...'. Each document entry includes a trash icon (4) and a sort order icon (5). The 'REPORT ACTIVITY' section on the right shows 'Created' and 'Last Modified' dates.

Report Activity	Value
Created	06-Oct-2020
Last Modified	06-Oct-2020
Shared	

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.

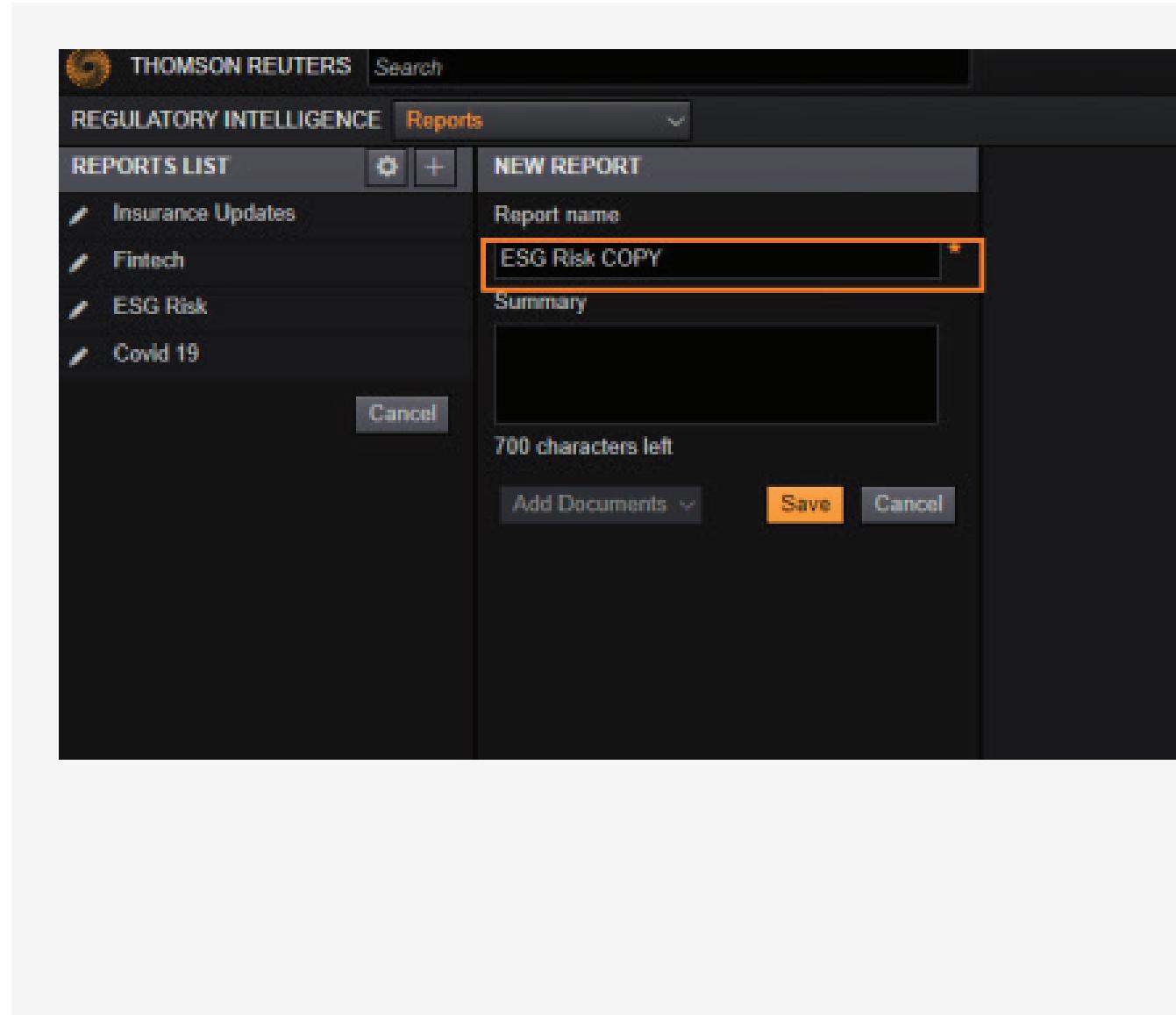


7.3.4 Duplicating a Report

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

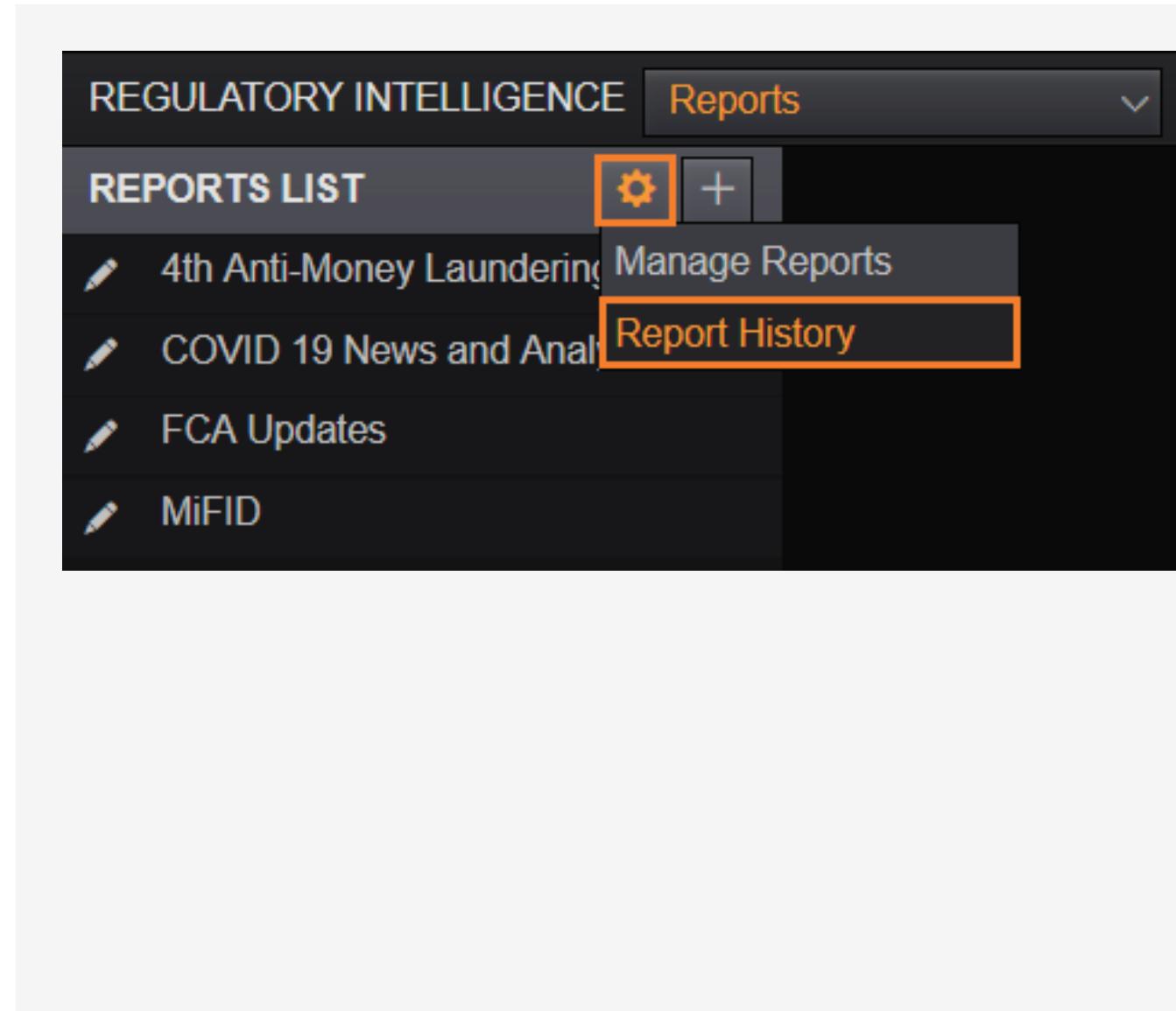
The option to Delete allows you to permanently delete a report.



7.4 Report History

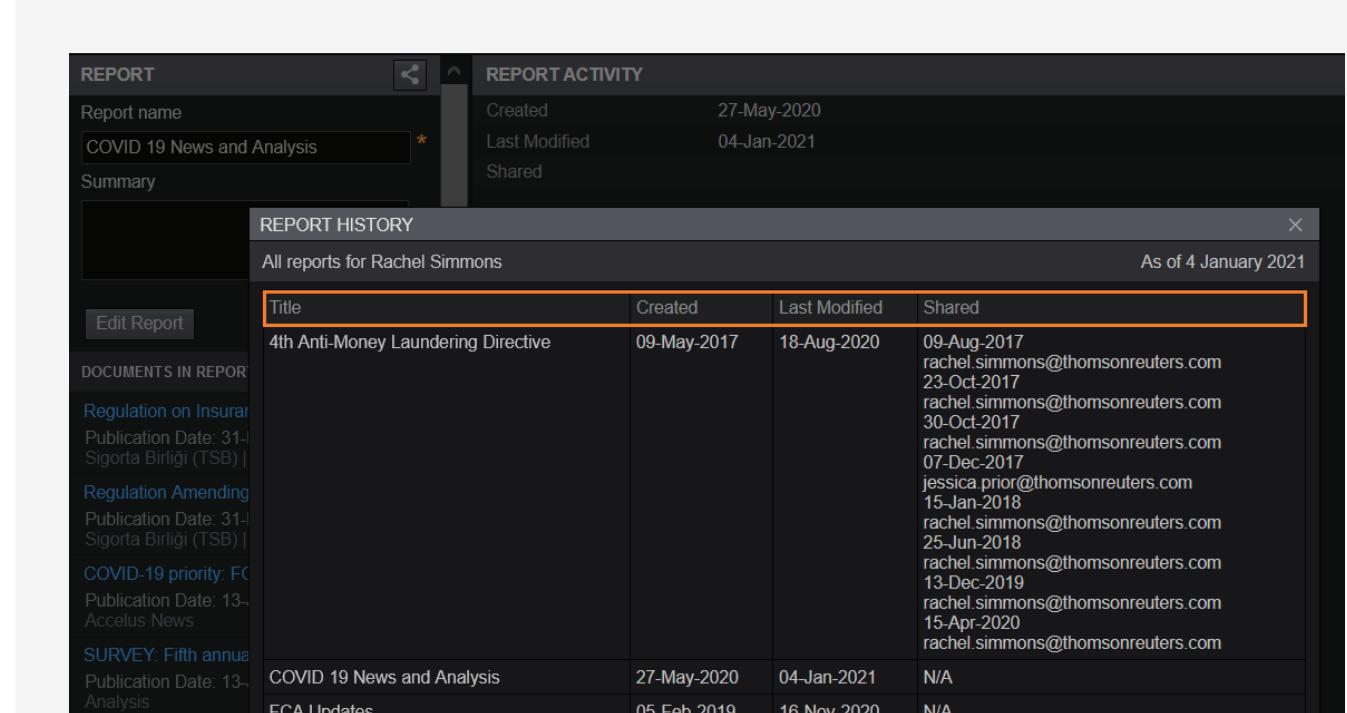
The Report History functionality provides an overview of all the reports available at that moment in time. The history shows the name, creation date, last modified date, and who the report was shared with (if the report was emailed).

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.



The screenshot shows a 'REPORT' interface with a 'Report name' field containing 'COVID 19 News and Analysis'. To the right, a 'REPORT ACTIVITY' section shows 'Created' on 27-May-2020 and 'Last Modified' on 04-Jan-2021, with the status 'Shared'. Below this is a 'REPORT HISTORY' section titled 'All reports for Rachel Simmons' with a timestamp 'As of 4 January 2021'. The history table has columns for 'Title', 'Created', 'Last Modified', and 'Shared'. It lists several reports, including the 'COVID 19 News and Analysis' report and others like '4th Anti-Money Laundering Directive' and 'ECA Updates'.

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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