

# Thomson Reuters Regulatory Intelligence for MiFID II

## Navigate the MiFID II landscape with confidence.

MiFID II presents a comprehensive set of reforms, which take effect from 3 January 2018. These reforms will improve competition, consumer protection and market integrity across retail and wholesale financial markets.

With a rule book currently stretching to 1.4m paragraphs and likely to increase, MiFID II will have a pronounced impact across the financial services landscape. It will affect everyone engaged in the dealing and processing of financial instruments, from business and operating models, systems and data, to data, people and processes. With the market reforms moving ever closer to coming into force, firms face a considerable challenge in planning and executing policy and procedural change.

### Why Thomson Reuters Regulatory Intelligence for MiFID II?

Thomson Reuters Regulatory Intelligence (TRRI) has the content, technology, experience and expertise to help you meet the challenge that this transformation poses, as well as take advantage of the market opportunities and potential for competitive advantage that the regulation undoubtedly offers.

Our extensive coverage includes the tracking and monitoring of global regulatory organizations, including, but not limited to the following:

#### International and regional bodies:

- BaFIN (German Federal Financial Supervisory Authority)
- European Securities and Markets Authority (ESMA)
- European Commission (EC)
- European Banking Authority (EBA)
- HM Treasury
- Financial Conduct Authority (FCA)
- Prudential Regulation Authority (PRA)
- Autorité des Marchés Financiers (AMF)
- Central Bank of Ireland
- Commissione Nazionale per le Società e la Borsa (CONSOB)
- Commission de Surveillance du Secteur Financier (CSSF)

#### Trade Associations:

- Association for Financial Markets in Europe (AFME)
- European Fund and Asset Management Association (EFAMA)
- European Money Markets Institute (EMMI)
- Federation of European Securities Exchanges
- International Swaps and Derivatives Association (ISDA)
- International Capital Market Association (ICMA)

### News and Analysis

The TRRI journalists report daily on how the industry is working towards MiFID II implementation. They investigate and report on the wrinkles and nuances that challenge and frustrate firms in the run up to January 3, 2018.

Our senior experts have at least 18 years of regulatory risk and compliance experience. They have all held senior positions within regulated firms, so they understand the pressures that organizations face.

Our news and analysis content covers all angles: from the breaking news story to the technical analysis on how to implement the changes.

We also publish exclusive commissioned commentary from leading experts within the industry. These include former regulators, heads of department and senior partners in city law firms.

### Content Themes

Thomson Reuters Regulatory Event, Legislative and News & Analysis covers the following key elements related to MiFID II.

- Conflicts of interest
- Product governance
- Telephone recording
- Compliance function
- Safeguarding investments
- Algorithmic trading
- OTFs
- Information for clients
- Inducements
- Investment research
- Staff remuneration
- Suitability and appropriateness
- Execution of orders, including best execution
- Regulated markets
- Commodity derivatives and reporting
- Data reporting services
- Transparency for trading venues
- OTC trading
- Transaction reporting
- Derivatives trading
- Non-discriminatory access
- Product intervention
- International/cross-border cooperation
- Trade Reporting
- Position/exercise limits and reporting
- Investment advice/recommendations
- Sales practices/treating customers fairly
- Organization and governance of regulatory body
- Rulemaking/rulemaking procedures

Stay aware of changing legislation utilizing our thematic taxonomy. Further to our MiFID II coverage, discover content relevant to:

- Benchmarks Regulation
- Alternative Investment Fund Managers Directive (AIFMD)
- Undertakings for Collective Investment in Transferable Securities (UCITS)
- Market Abuse Directive/Market Abuse Regulation (MAD/MAR)
- Fourth Money Laundering Directive (4MLD)
- European Market Infrastructure Regulation (EMIR)

TRRI will help you keep up to date so you can track the relevant regulators and legislators in your specific jurisdiction. Our leading MiFID Regulatory Intelligence experts will keep you informed with the MiFID regulatory developments, news and impact analysis.

An intuitive user interface with powerful search functionality assists your regulatory research, including:

- Global coverage of more than 850 regulatory bodies and over 2,500 regulatory and legislative materials
- Over 10 years of history providing exclusive news, analysis and practical guidance from our global team of regulatory experts and journalists
- Over 120 country guides providing an overview of local laws and regulations
- Customizable My Updates feature delivers relevant regulatory notifications, pending events, analysis and practical guidance
- Our Risk Community connects you with your peers and our industry community of compliance and regulatory experts
- Regulatory events calendar ensures you are aware of and prepared for vital regulatory deadlines
- Enhanced reporting allows you to share information and prepare reports for your board

## Related Solutions

### TRRI Feeds

Receive a single content feed of your Laws and Regulations and Regulatory Change events to create and maintain your Legal Obligations Register.

### Thomson Reuters Compliance Learning

Empower your staff to make compliant decisions that protect your business from risk. Designed to meet your compliance needs, our online courses are interactive, customizable and cost-effective available in over 40 languages. Stay on top of evolving regulations and ensure your employees know their compliance responsibilities, courses include:

- MiFID II
- Market Abuse
- Conduct Risk Suite
- Financial Crime
- Operational Risk Management essentials
- Conduct of Business

### Connected Risk

Connected Risk is a software platform that enables firms to truly understand their risk profile, by helping them gain greater insight into the risks their firms are exposed to and what actions they need to take. It provides standardized, tailorable, automated processes that help organizations make informed decisions with greater ease and efficiency, by delivering a focused view of their audit, risk and compliance landscape. Connected Risk helps teams mitigate and manage the risks that matter, and supports several modules – Risk Management, Compliance Management, Audit Management, Regulatory Change Management, Model Risk Management – that can be linked together on the platform.

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## Key Benefits

### Concise and Relevant

In an ever changing world of compliance, staying abreast of Regulatory News, Consultations & Regulations is challenging. Thomson Reuters Regulatory Intelligence gives you daily, weekly and monthly updates on the regulations that matter most. We take a practical viewpoint on how your compliance organization will need to review and update your Internal policies and procedures.

Keeping up to date with changing regulation, keeping your compliance team trained, and your broader stakeholders aware of their obligations is a time-consuming task. Utilise our five tier Taxonomy, to focus your research on MiFID regulatory challenges that apply to your market sector and jurisdiction.

### Actionable Intelligence

The solution gives constant access to practical advice, best practice materials and knowledge to implement relevant regulatory changes within your firm and to make sure organizational structures are aligned to current and upcoming regulations. Data can be extracted either in a machine-readable feed or in Excel® to assist in your management information systems, and reports can be created and customized for valuable and meaningful board-level reporting.

### Manage Regulatory Risks

With the shift towards bigger fines and greater personal liability, the need to ensure regulatory compliance across firms has never been greater. Thomson Reuters Regulatory Intelligence reduces the potential for errors and vulnerability within your firm by providing information that has been stringently tracked, monitored and analyzed.

### Single Information Source

This single-source solution provides a cost-effective and simplified research process, with comprehensive content, intuitive features and user-friendly functionality. The solution enables you to focus on anticipating and navigating the regulatory environment, alongside your general day-to-day responsibilities, by taking away the burden of having to manually track and monitor multiple and varied sources of regulatory information.

