

Regulatory demands touch everybody in Financial Institutions, and they touch them everywhere!

[Mifid fuels Asian equities e-trading surge - Risk.net, 17 May 2018](#)

[Trade Wars, AI, and the Transformation of Asia Research – Institutional Investor, 22 May 2018](#)

Regulations are affecting the Financial services industry to a greater extent than at any other time in history. Some banks, particularly in Europe are developing all their time and resources to ensure that they fully comply with the stringent regulatory demands from Mifid, GDPR and the like. If you are in Europe or the US it is very obvious you need to comply with your own regulations, but what if you are sat in Asia. Some institutions or managers may think that they don't apply to companies or Financial Institutions in the region.

The world though is truly global in its business reach. If you talk to people abroad and especially if you interact and do business with financial institutions or corporates, if you have clients who are international or do business internationally (and that includes nearly everyone these days); then you need to be aware of the major global regulations.

Specialized areas such as execution in Equities or Bonds or FX are hugely impacted by regulations. That may mean efficiencies are impacted for clients or more information is required to be divulged; depending on where and who you are trading with or for. Research provision and delivery has become a major headache for it is important to know the basics of the main regulations in order to understand the dynamics of global businesses and also to ensure you are protected and that you are able to remain competitive in international client services.

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- Financial Regulation - An Introduction
- Financial Authorities (US)
- Financial Authorities (UK) - PRA & FCA
- Financial Authorities (UK) - Bank of England
- Financial Authorities (Europe) - ECB
- Financial Authorities (Europe) - ESFS
- Financial Authorities (Asia)

Basel Framework

- Basel II & Basel 2.5
- Basel III - An Introduction
- Basel III – Capital
- Basel III - Risk Coverage
- Basel III - Liquidity & Leverage
- Basel III - Pillar 2 & Pillar 3

US Regulation

- Dodd-Frank Act - An Overview
- FATCA

European Regulation

- MiFID II / MiFIR – Primer
- MiFID II / MiFIR - Key Requirements
- European Market Infrastructure Regulation (EMIR)
- UCITS
- AIFM Directive
- Data Management - Introduction

Other Regulation/Compliance

- US Anti-Money Laundering (AML)
- Singapore Anti-Money Laundering (AML)
- Hong Kong Anti-Money Laundering (AML)
- GDPR – General Data Protection Regulation
- Solvency II
- Anti-Bribery & Corruption (ABC) in Asia
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