

LexisNexis® Regulatory Compliance SourceData

User Guide

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Version V1.1
Date 02/07/2021

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Document control

Document Author **Mary Wong**
Document Date **02/07/21**
Current Version **1.1**
Document Title **LexisNexis Regulatory Compliance
SourceData App**
Document Type **User guide**

Document revisions

| Date | Version | Author | Comments |
|----------|---------|-----------|----------------------------|
| 28/06/21 | 1.0 | Mary Wong | Distribution |
| 02/07/21 | 1.1 | Mary Wong | Change name of app and URL |

1 SourceData overview

SourceData is a data-driven compliance tool that enables GRC professionals to find the path to compliance by easily understanding compliance obligations under a particular regulator, or a particular compliance source.

Identify the regulatory priorities of any regulator in your jurisdiction, or explore compliance sources including legislation, codes and standards. Discover the links between regulators, compliance sources and how they affect your business.

With granularity down to individual sections of compliance sources, SourceData provides unprecedented clarity over the complex compliance landscape.

By expanding the compliance source hierarchy, you are presented a view that combines:

1. Regulator(s) that administer(s) the compliance source.
2. Provision(s) or the entire compliance source(s) that are the basis for the obligation(s).
3. Provision(s) or the entire compliance source(s) that are the basis for the alert(s).

Relationship between SourceData and compliance registers.

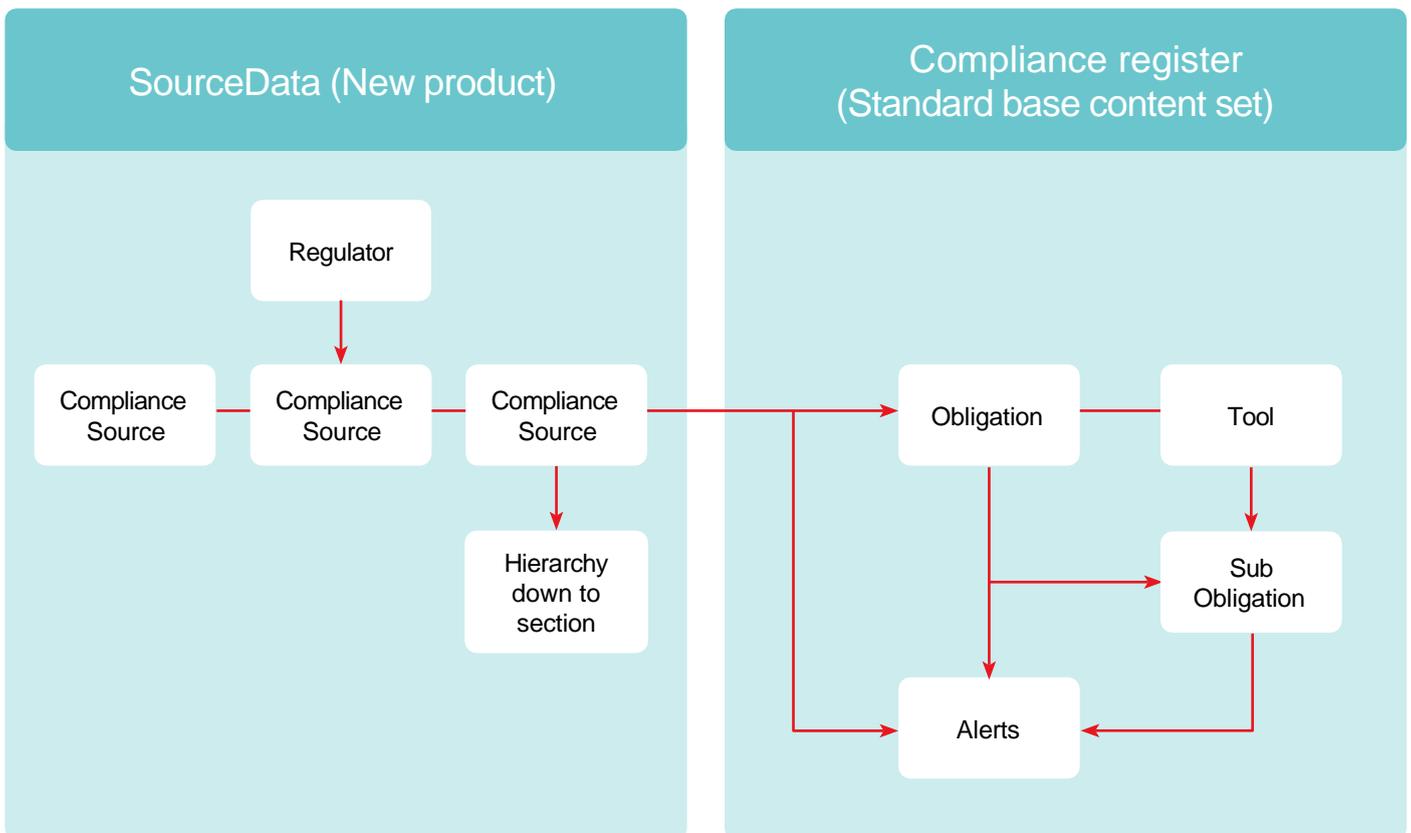


Fig 1 Relationship between SourceData and Obligation Registers.

2 SourceData app

SourceData is already available via API v2.0; a new user interface (SourceData App) was recently created to provide subscribers another means of accessing the SourceData.

Link: <https://compliance.portal.lexisnexis.com.au/sourcedata>

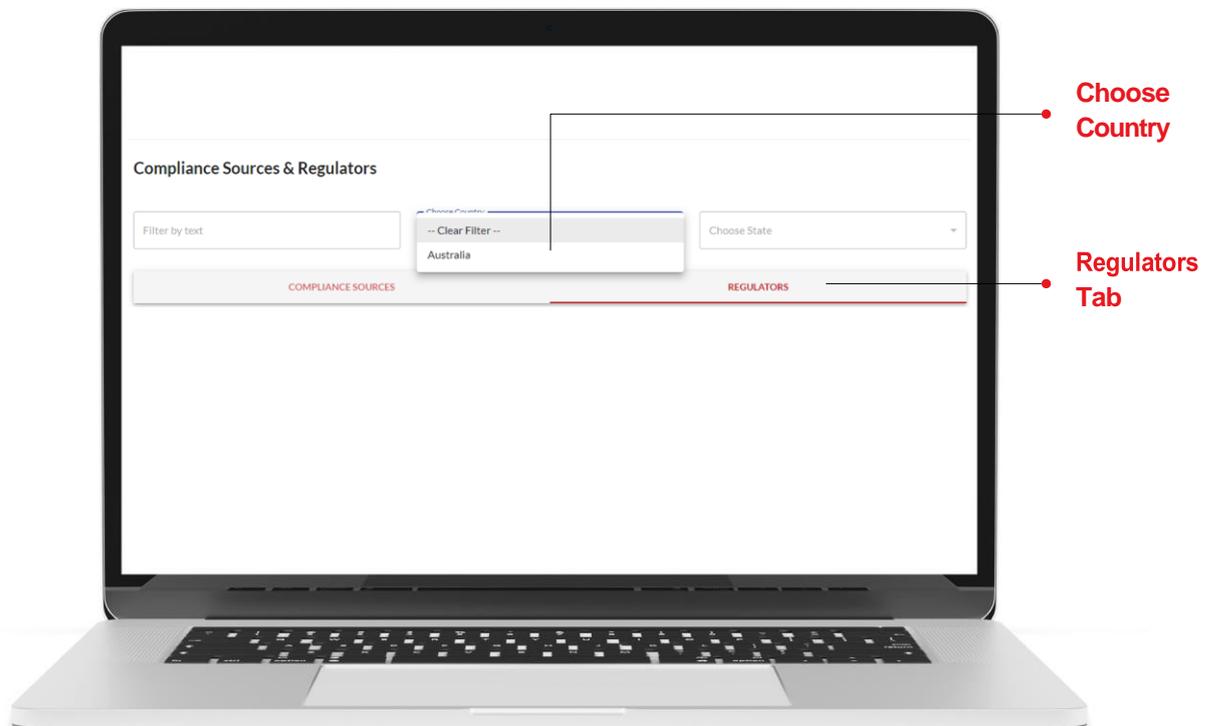
The SourceData App provides subscribers online access to the SourceData associated with the modules within their subscription.

2.1 Regulator

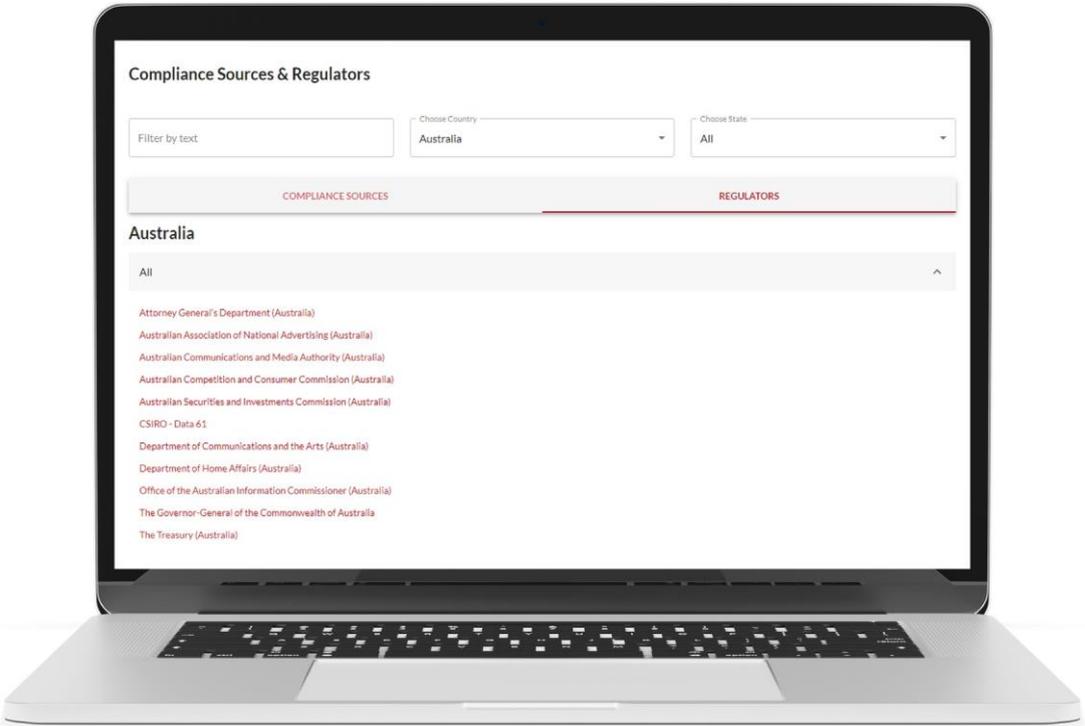
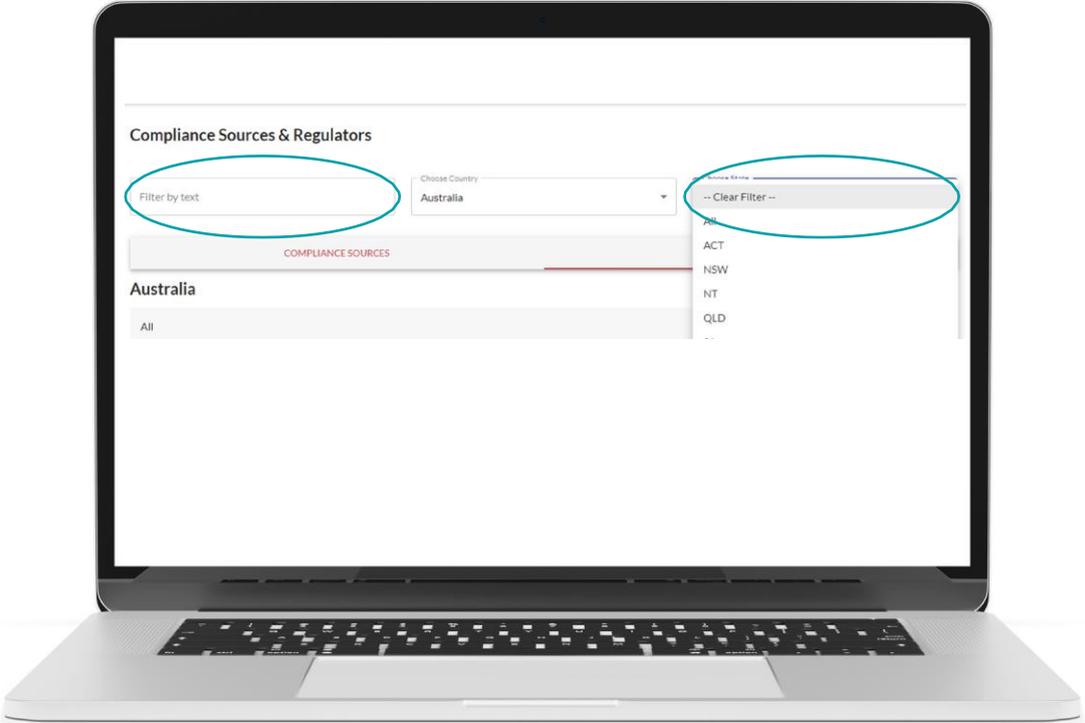
A Regulator can be associated with one or more Compliance Sources. For example, AUSTRAC (Regulator) administers, amongst others:

- AUSTRAC Compliance guide.
- Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth).

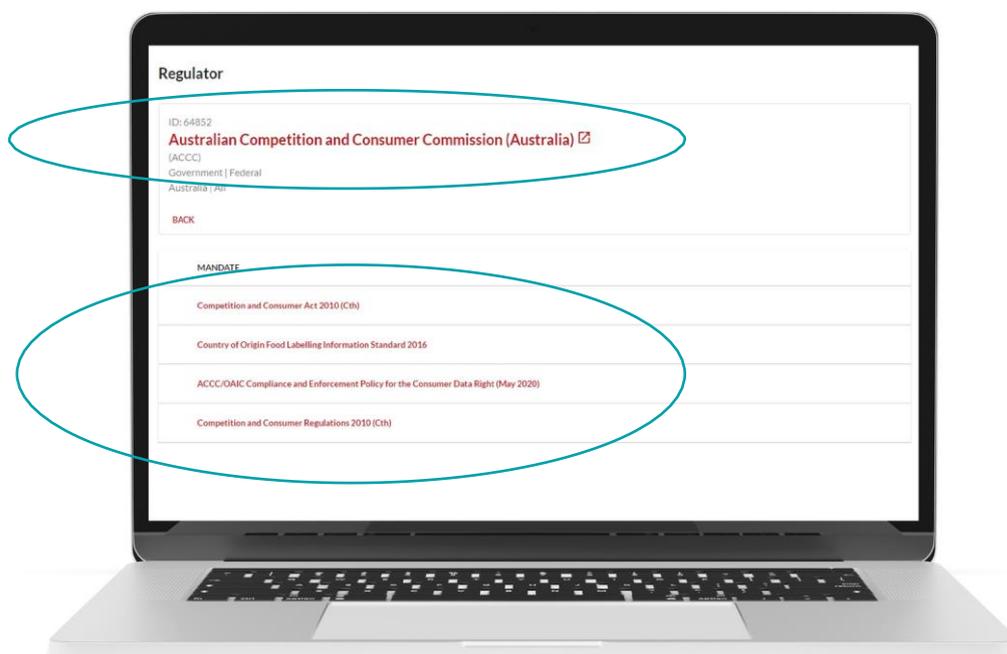
From the **REGULATORS** tab Choose Country.



After choosing the Country you can refine the results by either choosing a State from the drop (Choose "All" for Cth instruments in Australia) down or enter keywords from the Regulator title in the Filter by text.



When you select a Regulator, you will see the meta data associated with the chosen Regulator and all the Compliance Sources that it administers.

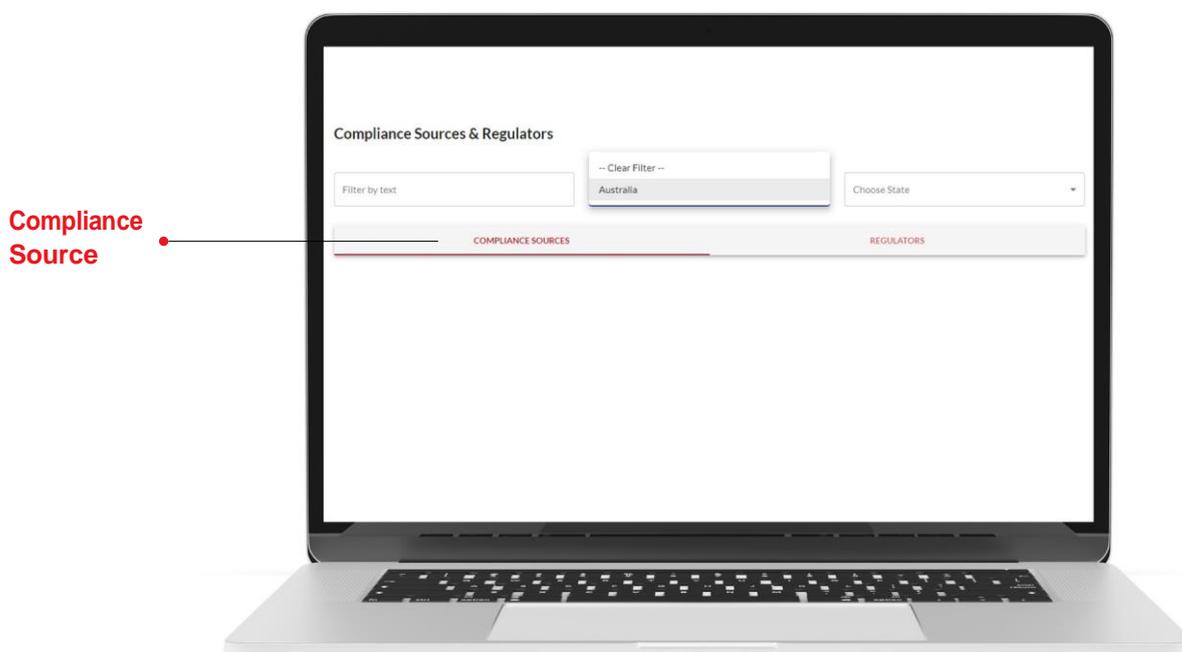


2.2 Compliance source

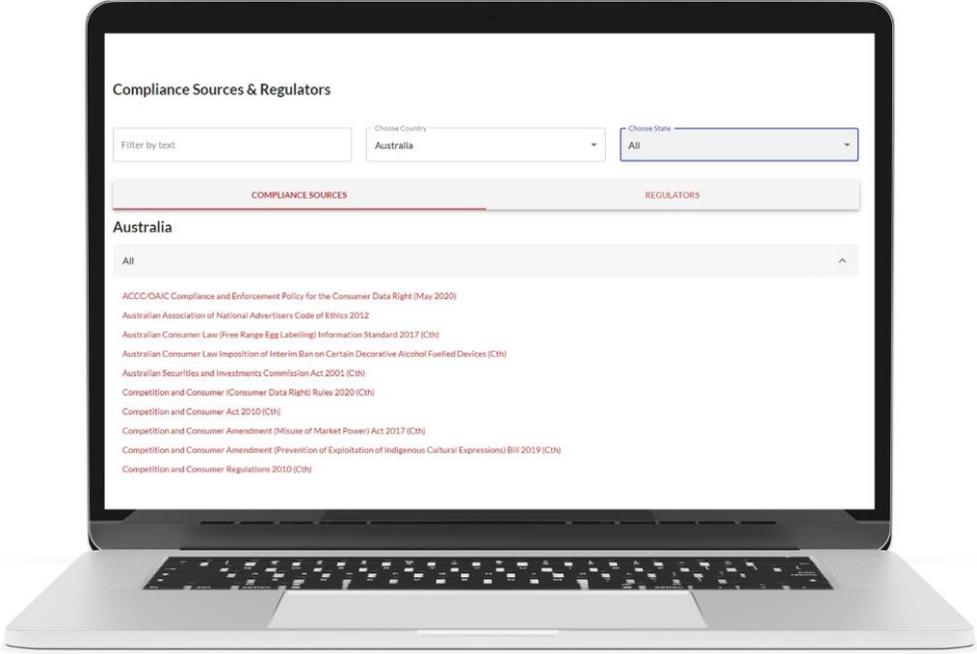
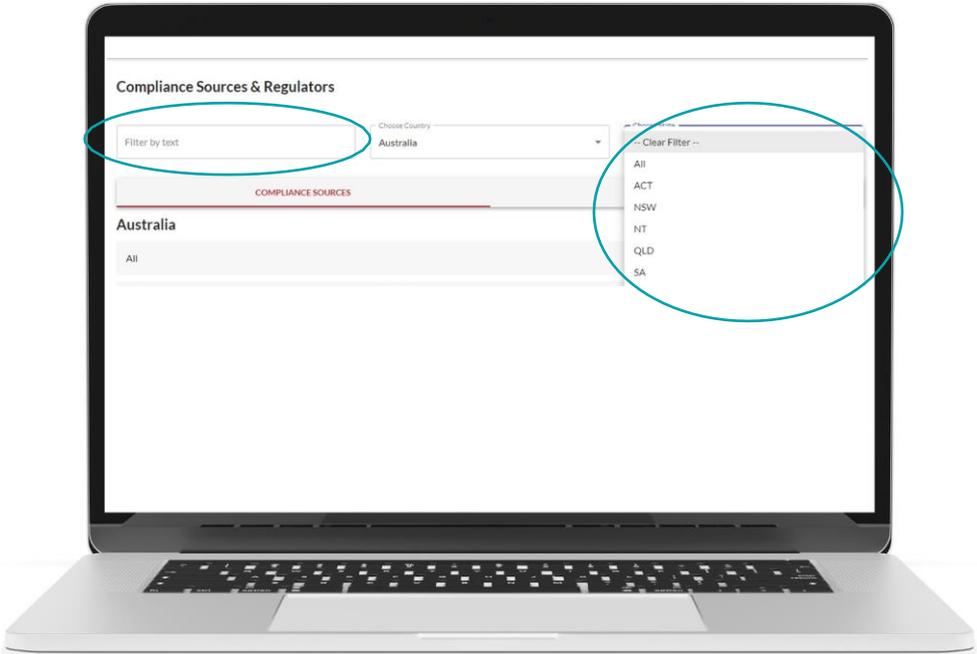
A Compliance Source can be associated with one or more Regulators. For example Competition and Consumer Regulations 2010 (Cth) (Compliance Source) is being administered by:

- Attorney General's Department.
- Australian Competition and Consumer Commission.

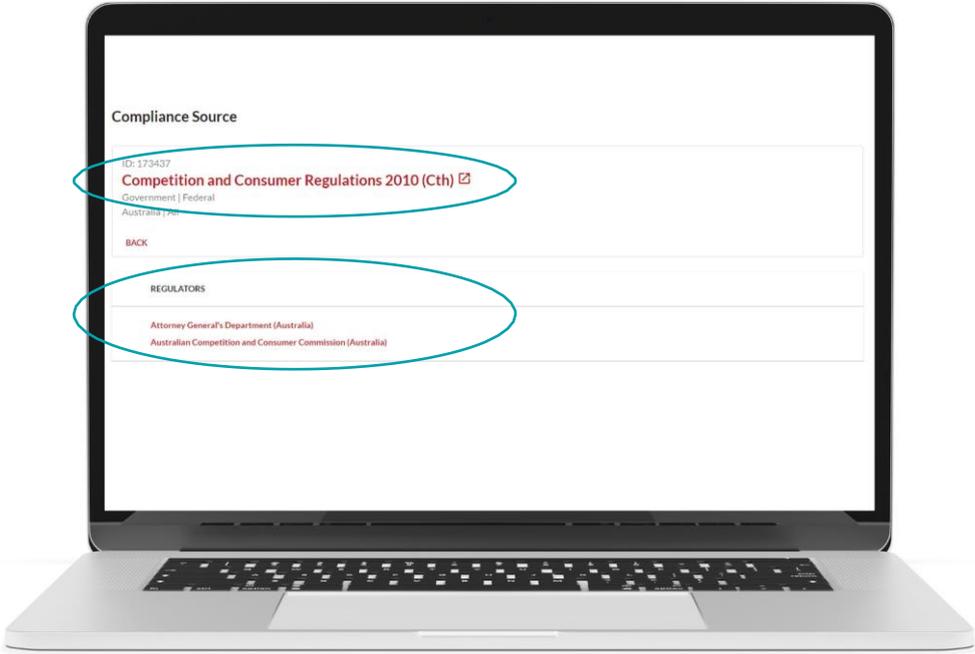
From the **COMPLIANCE SOURCE** tab Choose Country:



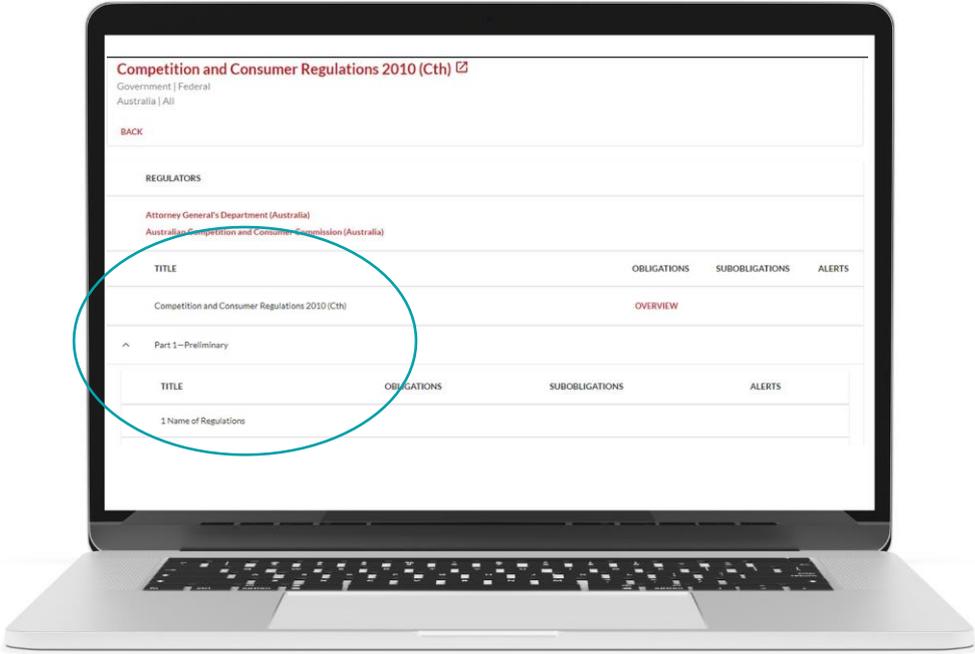
After choosing the Country you can refine the results by either choosing a State from the drop down or enter keywords from the Regulator title in the Filter by text.



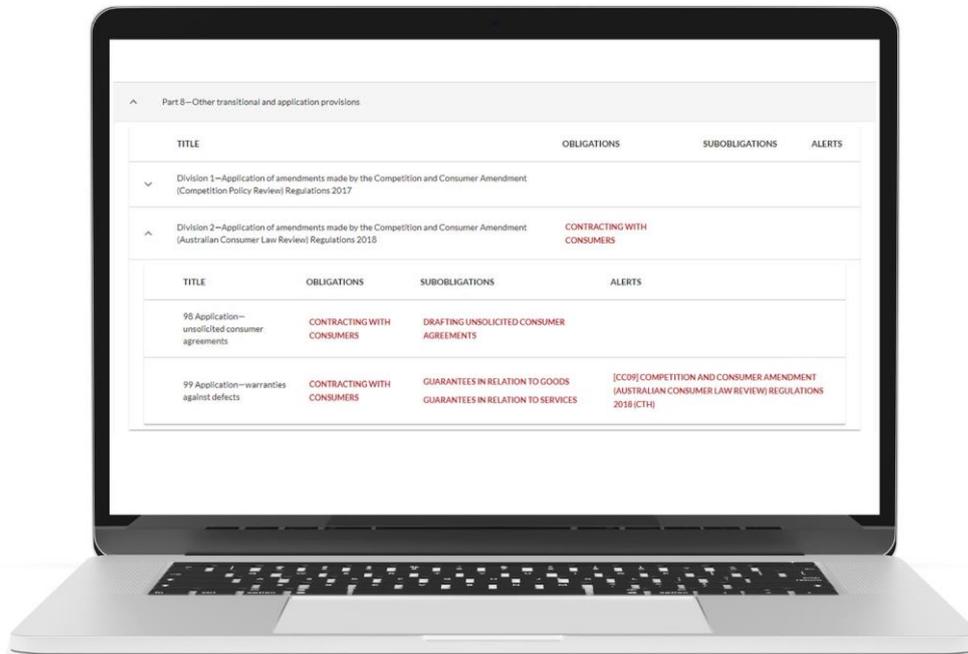
When you select a Compliance Source, you will see the meta data associated with the chosen Compliance Source and all the Regulators that administer it:



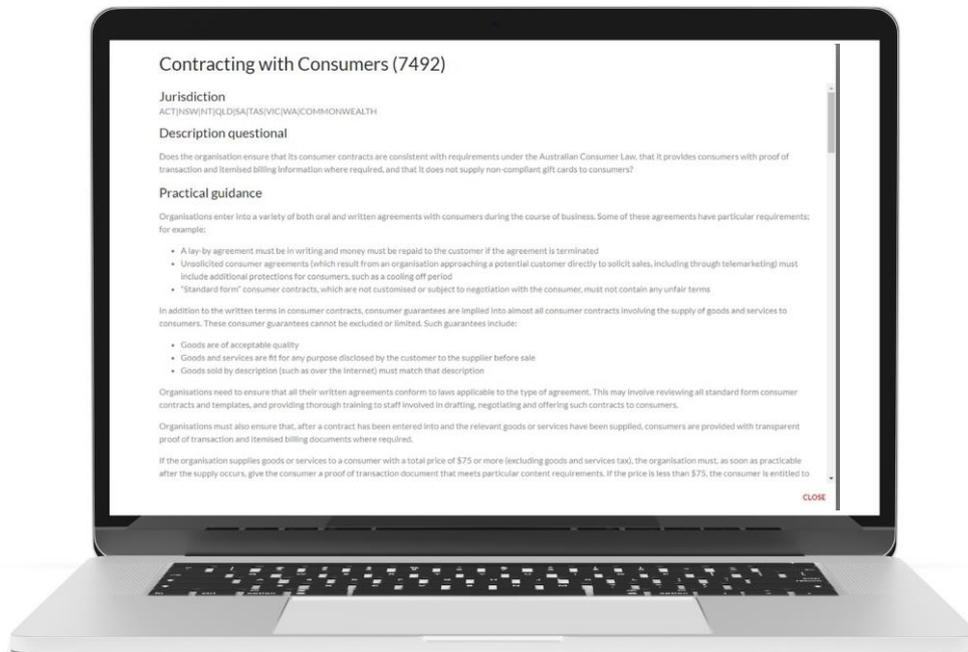
You can also drill down on the Compliance Source to the provision level (section, regulation, rule, etc).



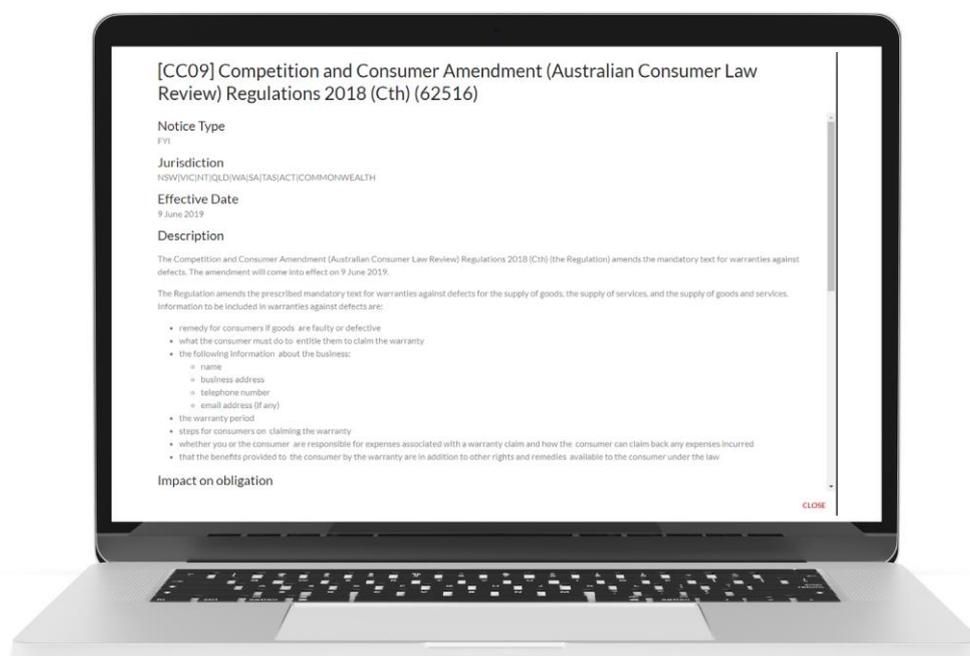
The relevant obligations, sub obligations and Alerts will appear against the provisions.



When you click on the obligation or sub obligation it will appear as a pop up.



When you click on the alert it will appear as a pop up.



3 Export as CSV

The Export as csv button is available on the Compliance Source screen and the Regulator screen.

3.1 compliancesource.csv

The compliancesource.csv will contain the entire hierarchy of the chosen compliance source.

3.2 regulator.csv

The regulator.csv will contain all the regulators based on the filters used.

4 Some of our available SourceData modules

Australia

- Aged Care
- Anti-Bribery & Corruption
- AML-CFT
- Asset Management
- Australian Credit Licence (Credit Providers)
- Australian Financial Services Licence (Product Issuers)
- Authorised Deposit-taking institutions
- Casinos
- Charities
- Competition & Consumer
- Corporations
- Compulsory Third Party Insurance
- Credit Rating of Financial Products
- Credit Reporting
- Cybersecurity
- Electronic Transactions
- Employment
- Environment
- Facilities Management
- Finance & Leasing Companies
- Financial Accountability
- Financial Advisory
- Financial Reports — Accounting and Auditing
- Franchising
- General Insurance
- Infrastructure Resilience and Security
- Institutional Investment
- Intellectual Property
- Interactive Gambling
- Life Insurance
- Payment Systems
- Privacy & Data Protection
- Private Health Insurance
- Sanctions
- Stockbroking and Share Trading
- Superannuation
- Tax
- Workplace Health & Safety
- Workers Compensation Insurance

New Zealand

- Anti-Bribery & Corruption
- AML-CFT
- Company Law
- Consumer Law
- Cybersecurity
- Employment
- Environment
- Privacy
- Work Health and Safety

United Kingdom

- Anti-Bribery & Corruption
- AML-CFT
- Banking and Deposit-taking
- Casinos and Gambling
- Competition
- Consumer Protection
- Corporations
- Cybersecurity
- Privacy & Data Protection
- Tax

International

- Risk and Compliance
- Global Environmental, Social and Governance (ESG)
- Global Cybersecurity



About LexisNexis Regulatory Compliance

LexisNexis Regulatory Compliance helps you forge a clear path to compliance.

With LexisNexis® content know-how at the core, our compliance registers, alerts, and information-driven solutions make compliance uncomplicated for GRC professionals across the globe.

- Find relevant obligations faster with jargon-free registers that are aligned to your business processes.
- Stay up to date with near-real time alerts delivered straight to your inbox when you may be impacted by regulatory change.
- Explore your compliance obligations under a particular regulator, or a particular compliance source, with SourceData.
- Engage with the wider compliance community and LexisNexis experts through the Community Portal, our self-support platform.
- Access comprehensive, current LexisNexis content that meets your unique needs, with key core modules relevant to all businesses, and a rapid accelerating roadmap of industry-specific modules that guide your path to compliance.

Authored by leading legal and industry experts, and supported by flexible technology that works the way you do, LexisNexis Regulatory Compliance gives you peace of mind while saving time, and money.

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