

# The clear path to compliance

Credentials Document



**LexisNexis® Regulatory Compliance**

Multi-award winning solution helping you on your path to compliance



# Overview

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## 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 Governance, Risk and Compliance 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.

## About LexisNexis

LexisNexis is part of RELX Group, a world-leading provider of information and analytics for professional and business customers across industries. LexisNexis helps customers to achieve their goals in more than 175 countries, across six continents, with over 10,000 employees.

# Overview

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No matter where you are in the world, or what your industry, compliance is one of the most dynamic and fast-moving functions in business. It can be complex, fragmented, and difficult to stay ahead of changing obligations. And while compliance is deeply intertwined with the law, often the people tasked with managing it, are not legal professionals.

LexisNexis Regulatory Compliance ensures that the guidance and content is clear and in plain English so your teams know what you need to do fast, and don't have to spend time translating.

By drawing on the knowledge of some of the foremost legal experts in each compliance area, and presenting their interpretations in clear, actionable language that makes sense, we help you find clarity on your path to compliance.

Powered by the Regulatory Compliance+ platform and the seamless integration of authoritative content with our enhanced workflows, our compliance registers and alerts turn complex regulations into actionable insights for Governance, Risk, and Compliance professionals.

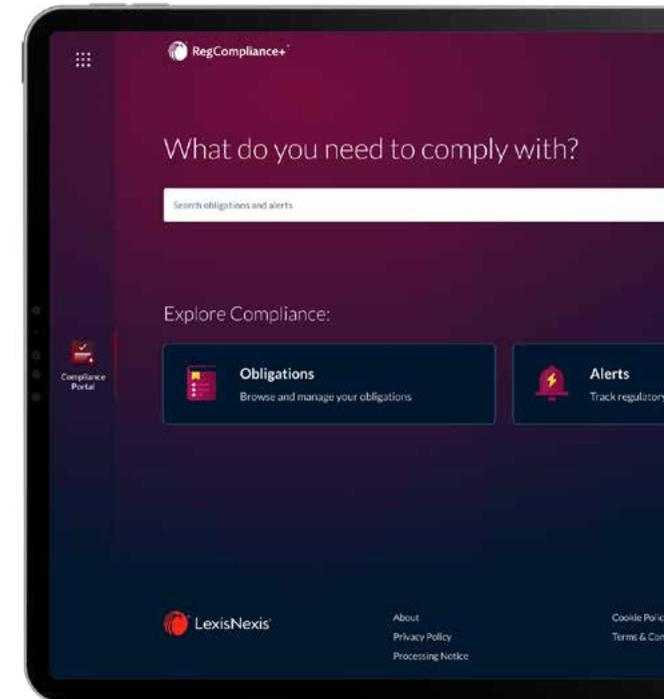
Advanced filtering by jurisdiction, industry, compliance status, and risk grading— this gives compliance teams granular control and visibility, making it easier to prioritise efforts, allocate resources, and focus on areas of highest risk.

Users can browse obligations and alerts in different views, making it easier to scan summaries, explore linked content, and act quickly. Dynamic dashboards bring performance data to life, helping teams visualise ownership and exposure at a glance, enabling more proactive management and reporting.

Enhanced alert capabilities also support regulatory change triage and impact assessment, with new filtering options and impact ratings allowing teams to instantly gauge the relevance and significance of each update.

Our tools are designed to streamline compliance processes, reduce administrative burden, and strengthen regulatory resilience—helping you stay compliant in an increasingly complex environment.

**Get ready to experience a new era of compliance.**



# Content Principles

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Our content is set apart from the competition by two key principles:

1. It is authored by experts to provide the best interpretations of compliance sources.
2. It is structured for practicality across all modules.

## The Process of Expert Authorship

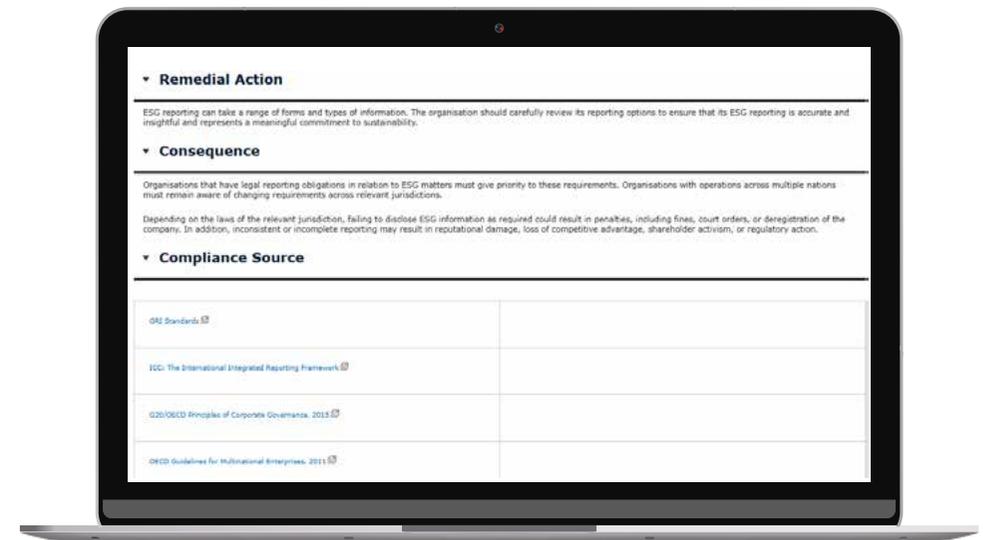
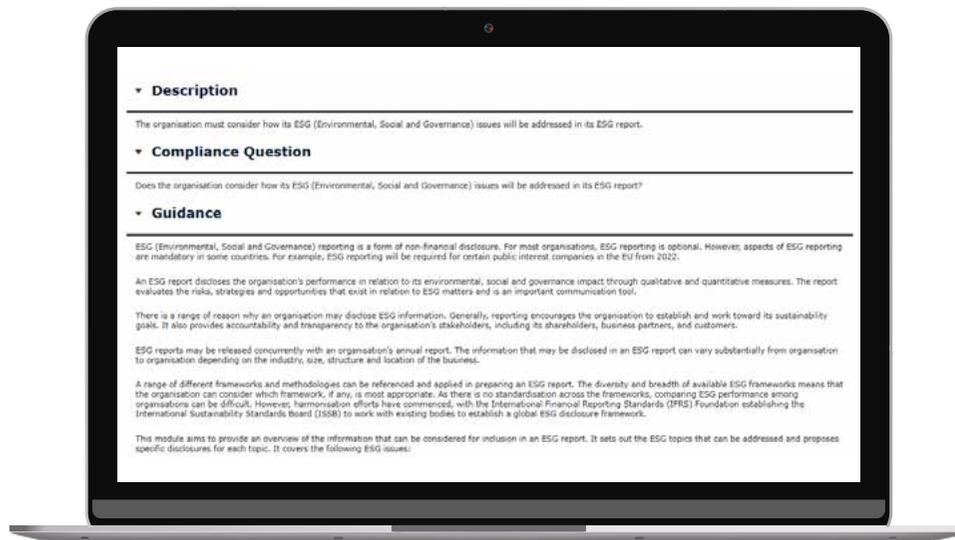


# Content Principles

## Designed for Practicality

Every obligation in our compliance registers is structured the same way so you can quickly locate the information you need.

- **Guidance** notes explains what it means to be compliant and how to get there
- **Remedial actions** let you know some possible steps to take if you're not currently, or at risk of not being, compliant
- **Consequences** explain the potential penalties for non-compliance
- **Compliance Source** are included as reference points.



# Product Features

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LexisNexis Regulatory Compliance is made up of three key components:

1. Modules and Registers
2. Alerts
3. Flexible Technology Options

## 1. Modules

Our content is grouped into modules. Each module can be thought of as a content set (i.e. the registers and alerts) that contains all the information you need to become compliant within a particular area. We offer three types of module:

- Core Modules – these are a series of registers that cover obligations that are applicable to all New Zealand organisations.
- Industry Modules – these are registers that are specific to an industry.
- Hot Topic Modules – these are free registers that cover topical areas of law such as Social Media.

You have the option to purchase individual modules to address specific areas of compliance, but in order to fully forge your path to compliance, we recommend purchasing both core and industry modules together. Furthermore, preferential pricing is offered based on multi modules and multi users chosen.

## 2. Alerts

We know the world of compliance is fast moving, and regulatory changes that affect businesses can occur in short spaces of time. That's why we deliver alerts to our customers' inboxes whenever changes occur. Our alerts contain all the essential information you need to know, including:

- which of our compliance modules the notification relates to
- which obligations have been impacted
- which compliance source has changed
- the date the change takes effect

Alerts are categorised by relevance

**News:** General information about changes to our content that are occurring

**FYI:** A change that you should be aware of, but does not require immediate action

**Action Required:** A change that could directly impact your business in the short term, and requires immediate review

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### 3. Flexible Technology Options

We understand that the path to compliance is different for every business, which is why we created a solution that can be tailored to meet your individual requirements. This starts with flexible technology options to suit any way of working:

#### **Enterprise Solution**

Our API allows you to download content directly into your existing GRC/ERM system. We also work alongside a panel of carefully selected software partners to provide complete packages of content and software, designed to meet your existing and future needs.

The enterprise solution is tailored towards larger businesses that require a full scale, integrated content and software-driven legal obligations register. Typically, these organisations manage regulatory compliance as part of an overall Governance, Risk & Compliance (GRC) Program that includes a dedicated compliance team. We can input our content directly into your existing ERM software via our API. If you're looking for an integrated software solution, we work with our panel of partners to provide a package of content and software.

#### **Panel of Partners**

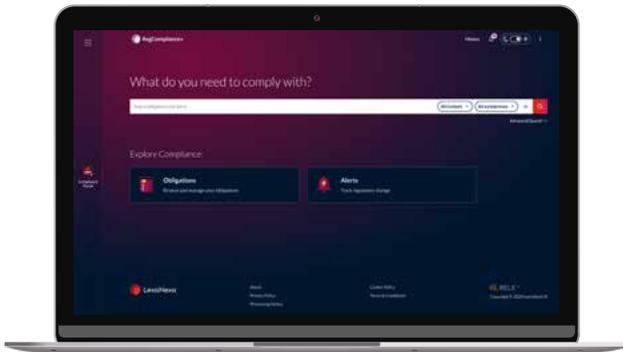
##### **Certified Integration Partner**

When you see this badge, it means the GRC partner has completed our certification assessment and have fully integrated our solution on their platform.

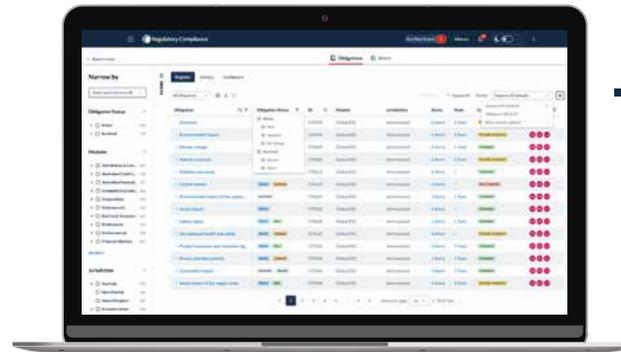


# Product Features

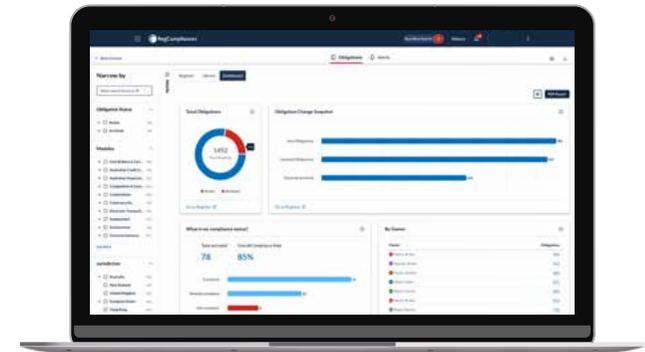
Our enhanced RegCompliance+ platform seamlessly integrates our authoritative compliance content with our refined workflows.



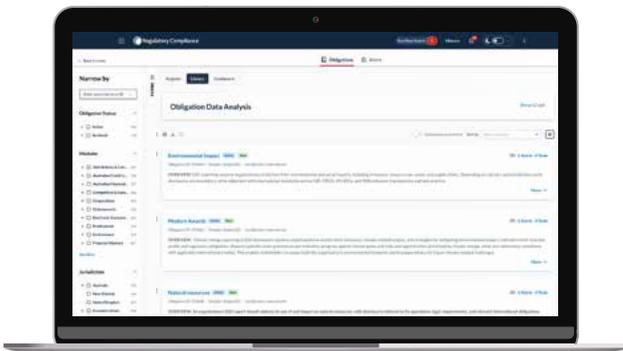
Get answers faster with unified search and quick access to obligations and alerts.



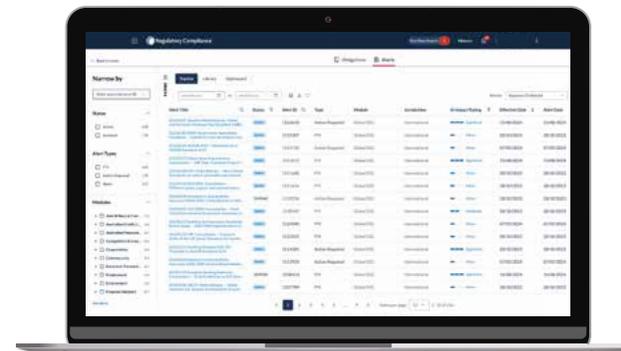
Boost operational efficiency and resilience with enhanced obligation filters based on jurisdiction, industry, compliance status, and risk grading.



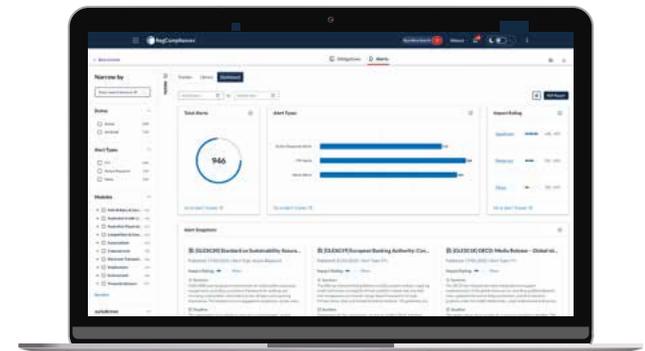
Dynamic dashboard provides a snapshot of your compliance tracking, obligations management, and risk insights. This enables proactive compliance management and informed reporting.



View obligation summaries and linked alerts and tools. Filter by module, jurisdiction, or status to get what you need, when you need.



Proactive regulatory change triage and management by filtering alerts by impact rating, risk rating and more.



Transform regulatory alert data into actionable insights through a highly visual dashboard showcasing alert volume, risk, ownership, and timelines.

# Product Features

## Comparing Traditional Compliance Register Against LexisNexis Regulatory Compliance

|                                                            | Traditional Compliance Register                                   | LexisNexis Regulatory Compliance                 |
|------------------------------------------------------------|-------------------------------------------------------------------|--------------------------------------------------|
| ERM                                                        | ✓                                                                 | ✓                                                |
| Online                                                     | ✗                                                                 | ✓                                                |
| Areas Of Law Covered                                       | Covers specific areas of compliance (e.g. Work Health and Safety) | Eight core modules and industry-specific content |
| Legislative Provision(s) Noted                             | ✓                                                                 | ✓                                                |
| Identify Who Is Responsible                                | ✓                                                                 | ✓                                                |
| Content Language                                           | Legalese                                                          | Plain Business English                           |
| Content Updated As Legislation Changes                     | ✗                                                                 | ✓                                                |
| Proactive Alerts                                           | ✗                                                                 | ✓                                                |
| Obligations Identified and Listed In Business Processes    | ✗                                                                 | ✓                                                |
| Practical Guidance On How To Ensure Compliance             | ✗                                                                 | ✓                                                |
| Control Actions Highlighted                                | ✗                                                                 | ✓                                                |
| Consequences Of Non-Compliance Explained                   | ✗                                                                 | ✓                                                |
| Obligations Are Drawn From All Relevant Compliance Sources | ✗                                                                 | ✓                                                |
| Tools and Checklists Provided                              | ✗                                                                 | ✓                                                |

# List of Available Modules

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Across our core and industry modules, we're able to help you find compliance clarity, no matter your industry. Our products are designed to work seamlessly together, and we work closely with our customers to find the right content at the right price.

LexisNexis Regulatory Compliance content is designed to be useful for business owners and other functional managers, not just those who specialise in compliance. So no matter who you are, or what your industry, we can help you uncomplicate your compliance responsibilities.

## Core Modules

### Anti-Bribery and Corruption

This module provides guidance on your compliance obligations, from setting up and operating your company through to winding it up. We have reviewed all key legislation administered by the Financial Management Authority, Registrar of Companies of the New Zealand Ministry for Business, Innovation and Employment and other key government bodies..

### Company Law

This module provides guidance on your compliance obligations, from setting up and operating your company through to winding it up. We have reviewed all key legislation administered by the Financial Management Authority, Registrar of Companies of the New Zealand Ministry for Business, Innovation and Employment and other key government bodies.

### Consumer Law

A complex and ever-changing area of law, this module provides you with a practical explanation of your obligations with regard to your customers, and how you can meet them. We have reviewed all key legislation regulated by the Commerce Commission.

### Employment

Covering all jurisdictions, this module uncovers your compliance obligations across the entire employment life cycle – from recruitment to employment contract obligations, right through to fair treatment in the workplace and more.

### Environment

The New Zealand Environment module assists an organisation to meet compliance with environmental consents, permits, approvals, permissions, licences and authorisations. This module also assists an organisation on how to adopt a proactive culture across its business activities and operations, and take appropriate actions such as record-keeping, notification and reporting.

### Privacy

Regardless of which industry you are in, privacy issues affect us all. The Privacy module identifies and guides your organisation through the compliance obligations regulated by the Privacy Commissioner surrounding the secure collection, management and maintenance of personal information.

### Tax

The NZ Tax module informs organisations of the requirements they must with regard to income tax, employment-related tax, fringe benefit tax and GST. Land and property tax, gaming duties and levies, importation tariffs and excise duties, international tax and reports and returns may also be relevant to an organisation. Organisations need to be aware of the Commissioner's powers, such as obtaining information and conducting audits, in order to remain compliant.

### Workplace Health & Safety

Everyone has legal responsibilities to protect the health and safety of people in the workplace. This module outlines the duties of organisations, workers and other relevant parties with respect to workplace health and safety.

# List of Available Modules

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## Industry Modules

### Anti-Money Laundering & Counter-Terrorism Financing

Organisations offering designated services are faced with a multitude of money laundering and terrorism financing risks. The Anti-Money Laundering and Countering Financing of Terrorism module assists reporting entities (other than remittance network providers, hotels and gaming venues) with their regulatory compliance with practical guidance on the identification, mitigation and the management of their money laundering and terrorism financing risks.

### Bank & Non-Bank Deposit Takers

The Bank & Non-Bank Deposit Takers module explains the key governance, prudential and reporting obligations of both banks and NBDTs. Readers will understand the licensing and registration processes that allow financial institutions to operate in the New Zealand market. They will know the source and scope of prudential requirements and understand how to meet them. They will master the reporting cycle; knowing what information to retain, what information to disclose, and how to do it all within the relevant deadlines.

### Credit Reporting

The Credit Reporting module provides an overview of the law that governs credit reporting bodies' and tenancy database operators' handling of personal information. Credit Reporters in New Zealand have obligations to handle information in a way that respects and protects the privacy of the individuals to whom that information relates. They must comply with the Privacy Act 2020 (NZ) as modified by the Credit Reporting Privacy Code 2020 (NZ).

### Cyber Security

Organisations' critical infrastructure systems are essential to their bottom line, ability to innovate and daily operations. It is an important part of an organisation's

overall risk management framework. The Cybersecurity module uses the US National Institute of Standards and Technology (NIST) Cybersecurity Framework to show how organisations can implement governance structures to align and prioritise their cybersecurity activities with their business requirements, risk appetite and resources. The module will also draw on guidance from Australia, the European Union, United Kingdom and the United States given the often extra-jurisdictional impact of cybersecurity activities and consequences.

### Financial Services for Corporate & Institutional Clients

The Financial Services for Corporate and Institutional Clients module assists organisations to understand and comply with their obligations as Financial Service Provider (FSPs) as well as the obligations that apply to specific service providers such as financial advisors, brokers, non-bank deposit takers, credit unions, building societies, registered banks, issuers of insurance, financial product market operators, and market service providers. The module also includes information on the broader requirements which may affect businesses that offer financial services such as the rules relating to dealing in financial products and dealing on financial markets.

### Financial Services for Retail Clients

The Financial Services for Retail Clients module covers a range of obligations relevant to businesses that operate within the financial services industry in New Zealand. The module pertains specifically to businesses that provide services to customers that are retail clients. This module summarises the legal obligations in relation to the following issues registration of financial service providers (FSP), dispute resolution schemes for financial service provider, fair dealing in relation to financial products and services and disclosure of offers of financial products.

# List of Available Modules

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## **General Insurance**

The general insurance industry is accountable to a number of regulators and must comply with a raft of obligations arising from legislation, prudential standards and industry codes of conduct. The General Insurance module assists an insurer to navigate the regulatory landscape by providing guidance on the obligations that arise from applying for and keeping licenses/authorisations, dealing with consumers and government mandated reporting and how to meet these obligations.

## **KiwiSaver**

The KiwiSaver module sets out the operational requirements an organisation must meet in order to be a voluntary superannuation scheme that members can join or be enrolled in by their employer. The scheme makes investments on behalf of its members with the fund to be paid out when the member meets the qualifying age or when the member is eligible to withdraw.

## **Life Insurance**

The life insurance industry is accountable to a number of regulators and must comply with a raft of obligations arising from legislation, prudential standards and industry codes of conduct. The Life Insurance module assists a life business to navigate the regulatory landscape by providing guidance on the obligations that arise from applying for and keeping licenses/authorisations, dealing with consumers and government mandated reporting and how to meet these obligations.

## **New Zealand Listing Rules**

The NZX Listing Rules module informs issuers that list securities on the NZX markets of their legal obligations under the NZX Listing Rules and suggests policies and procedures to ensure compliance with these requirements. The

module pertains to issuers of debt, equity and fund securities, NZX foreign except issuers, issuers of wholesale debt securities, and issuers of certain other financial products. The module assists organisations to understand and comply with their obligations relating to issuer operations, including duties related to listing and quotation, disclosure and governance.

## **Facilities Management**

The New Zealand Facilities Management module is crafted to guide organizations through their legal obligations in various aspects of facility management. It covers responsibilities in design, construction, and structural changes to buildings, as well as managing employees and contractors. The module also addresses safety and security measures, major hazard facilities, and residential tenancies. Additionally, it aids in compliance with key legislative requirements, including workplace health and safety, smoking and vaping prohibitions, environmental protection, energy efficiency, radiation and electricity management, waste and water management, fire safety, emergency management, and more.

## **New Zealand Sanctions**

The New Zealand Sanctions module offers comprehensive guidance to organisations, outlining their legal obligations pertaining to both domestic and international sanctions. It specifically focuses on the sanctions imposed by New Zealand and other relevant international sanctions that impact New Zealand organizations engaged in interactions involving goods, services, or organisations beyond New Zealand's borders.

# FAQs

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## **Q. Who is LexisNexis?**

**A:** LexisNexis is a leading global provider of legal, regulatory and business information and analytics that help professional customers make more informed decisions, increase productivity and serve their clients better.

We help lawyers win cases for their clients, manage their work more efficiently and productively, and grow their practices. We assist corporations to better understand their markets and prevent bribery and corruption within their supply chains. We aid universities in their efforts to help students become successful legal professionals, and we support governments and courts by making laws accessible and strengthening legal infrastructures.

LexisNexis serves customers in more than 175 countries with 10,000 employees worldwide, and is part of RELX Group, a global provider of information and analytics for professional and business customers across industries.

## **Q: How do you remain on top of all the content, given that regulations are updated all the time?**

**A:** We have a broad network of content specialists and legal experts who stay across the regulatory changes within their areas of specialisation. When things change, they will break down what the changes are and what they mean (or could mean) for businesses. We then send these updates out as alerts to ensure you're always aware of changes ahead of time.

## **Q: I've found other compliance solutions to be complex. How is your solution different?**

**A:** Our focus is on making compliance uncomplicated to save you time, money, and resources on your path to compliance. We do this through content that is designed to be easily understood, and readily actionable. Specifically, we provide:

- Topics that are organised by business processes
- Practical tools to help you meet your compliance obligations (checklists, templates, links to resources).
- Dynamic content that is updated regularly to reflect the most current legislation.
- Expert translations that explain your legal responsibilities in easy-to-apply business language.
- Core and specialist modules matched to your industry.
- Alerts when changes to regulations are made.

# FAQs

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**Q: This looks complex to set up and we don't have IT support readily available. How can I access the content?**

**A:** If you don't already have existing software, we can work with one of our partners to provide a full package of content and workflow software to meet your existing and future needs. Alternatively, we can provide you with content via our Online Portal.

**Q: I have existing Compliance software. How do you input your content into my system?**

**A:** We do this through an API (application programming interface). An API allows two different applications to “shake hands” with each other. In our case, an API allows the Content Management System (CMS) we use to store our content to talk with your existing software, and therefore allows the transfer of content accordingly.

**Q: What is the difference between core modules and industry modules?**

**A:** Core Modules cover legal obligations and actions required of most Australian organisations. These include: Anti-Bribery and Corruption; Competition and Consumer; Corporations; Data Protection & Privacy; Employment; Environment; Tax; WHS.

Industry modules include Compliance modules that are industry-specific, including Aged Care; General Insurance and Asset Management.

# FAQs

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## **Q. How is each register structured?**

**A.** The content in registers is structured to make it easy to find what you're looking for, and work out what you need to do.

**Overview** – This defines the scope of the module and lists the core obligations.

**Core Obligations** – Identifies a high-level view of the organisation's legal obligations for the area covered by the module. This is the basis for navigating efficiently through the module.

**Sub Obligations** – The sub-obligations are the individual operational obligations required to meet the core obligation.

**Tools** – The tools include checklists, policy templates, precedents, process flowcharts and links (usually hyperlinks to web pages). Alerts – There are 3 forms of alert being information only, action required and news.

## **Q. There are many people within our business that manage different compliance obligations. How can we ensure they all have access to the content they need?**

**A.** Utilising our multi-user licenses, our solution can be used by many people across the business. We can help reduce the burden of meeting your compliance obligations by using your software assets to gain attestations across the organisation.

Plus, with our use of plain language and practical directions, we provide non-lawyers with clear guidance on control actions within an operational framework.



**LexisNexis®** | *Regulatory Compliance*

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Multi-award winning solution  
helping you on your path to compliance

