

REGULATORY CHANGE PUBLICATIONS ALERT

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TITLE : [APPLY TO APPROVE A FIRM](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA

TITLE : [APPLY TO APPROVE AN INDIVIDUAL](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA

TITLE : [PRICING CATEGORIES FOR APPLICATION FEES](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA

TITLE : [CLIMATE FINANCIAL RISK FORUM \(CFRF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA

TITLE : [SKILLED PERSON REVIEWS](#)

PUBLICATION DATE : 2022-05-26 | REGULATOR : FRC

TITLE : [FRC COMBINED KEY EXTRACTS FINDINGS](#)

PUBLICATION DATE : 2022-05-26 | REGULATOR : FRC

TITLE : [FRC GOOD PRACTICES REPORTED](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FRC

TITLE : [FRC PUBLISHES INSPECTION KEY FINDINGS AND GOOD PRACTICES](#)

PUBLICATION DATE : 2022-02-28 | REGULATOR : GOV.UK | UK STATUTORY INSTRUMENTS

TITLE : [2022 NO. 191 : THE POLYGRAPH \(AMENDMENT\) RULES 2022](#)

PUBLICATION DATE : 2022-02-24 | REGULATOR : GOV.UK | UK STATUTORY INSTRUMENTS

TITLE : [2022 NO. 155 : THE FACULTY JURISDICTION \(AMENDMENT\) RULES 2022](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [PRIMARY MARKET TECHNICAL NOTE 636.1: ORDER OF INFORMATION IN THE PROSPECTUS \(PDF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [PRIMARY MARKET TECHNICAL NOTE 601.3: PUBLIC OFFERS \(PDF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [PRIMARY MARKET TECHNICAL NOTE 321.2: WORKING CAPITAL STATEMENTS AND RISK FACTORS \(PDF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [PRIMARY MARKET TECHNICAL NOTE 637.1: LEVEL OF DISCLOSURE FOR SECURITIES SUBJECT TO CONVERSION OR WRITE-DOWN POWERS \(PDF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [HANDBOOK NOTICE 99 \(PDF\)](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [PRIMARY MARKET BULLETIN 40](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
TITLE : [KNOWLEDGE BASE](#)

PUBLICATION DATE : 2022-05-27 | REGULATOR : FCA
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TITLE : [FRC PUBLISHES INSPECTION KEY FINDINGS AND GOOD PRACTICES](#)

PUBLICATION DATE : 2022-02-28 | REGULATOR : GOV.UK | UK STATUTORY INSTRUMENTS
TITLE : [2022 NO. 191: THE POLYGRAPH \(AMENDMENT\) RULES 2022](#)

PUBLICATION DATE : 2022-02-24 | REGULATOR : GOV.UK | UK STATUTORY INSTRUMENTS
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PUBLICATION DATE : 2022-02-21 | REGULATOR : GOV.UK | UK STATUTORY INSTRUMENTS
TITLE : [2022 NO. 45 \(L. 2\): THE CRIMINAL PROCEDURE \(AMENDMENT\) RULES 2022](#)

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TITLE : [CALL FOR VIEWS: PRIVACY IN PRODUCT DESIGN](#)

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TITLE : [BLOCKCHAIN FOR ACCESS CONTROL SYSTEMS: NIST IR 8403](#)

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PUBLICATION DATE : 2021-12-28 | REGULATOR : AMF
TITLE : [THE ACPR AND THE AMF PUBLISH THEIR REPORT ON THE CLIMATE COMMITMENTS OF THE PLACEORS OF THE PLACE : ORIGINAL PUBLISHED TEXT \(L'ACPR ET L'AMF PUBLIENT LEUR RAPPORT SUR LES ENGAGEMENTS CLIMATIQUES DES ACTEURS DE LA PLACE\)](#)

PUBLICATION DATE : 2021-12-28 | REGULATOR : AMF
TITLE : [SECOND COMMON REPORT AMF / ACPR ON MONITORING AND EVALUATION OF CLIMATE COMMITMENTS OF PLACE ACTORS : ORIGINAL PUBLISHED TEXT \(DEUXIÈME RAPPORT COMMUN AMF/ACPR SUR LE SUIVI ET ÉVALUATION DES ENGAGEMENTS CLIMATIQUES DES ACTEURS DE LA PLACE\)](#)

PUBLICATION DATE : 2021-12-28 | REGULATOR : AMF
TITLE : [THE ACPR AND THE AMF PUBLISH THEIR REPORT ON THE CLIMATE COMMITMENTS OF THE PLACE : ORIGINAL PUBLISHED TEXT \(L'ACPR ET L'AMF PUBLIENT LEUR RAPPORT SUR LES ENGAGEMENTS CLIMATIQUES DES ACTEURS DE LA PLACE\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : AMF
TITLE : [SPEECH BY ROBERT OPHÈLE, CHAIRMAN OF THE AMF - PRÉSENTATION OF THE AMF'S 2021 ANNUAL REPORT - MAY 18, 2022 : ORIGINAL PUBLISHED TEXT \(DISCOURS DE ROBERT OPHÈLE, PRÉSIDENT DE L'AMF - PRÉSENTATION DU RAPPORT ANNUEL 2021 DE L'AMF - 18 MAI 2022\)](#)

PUBLICATION DATE : 2022-05-25 | REGULATOR : AMF
TITLE : [I DECLARE MY TRANSACTIONS DURING A PUBLIC OFFER PERIOD : ORIGINAL PUBLISHED TEXT \(JE DÉCLARE MES OPÉRATIONS EN PÉRIODE D'OFFRE PUBLIQUE\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : AMF
TITLE : [SUMMARY OF SPOT CONTROLS RELATING TO THE IMPLEMENTATION IN FRANCE OF THE SUPERVISION EXERCISE COORDINATED BY ESMA ON THE COSTS AND FEES OF UCITS MARKETED TO RETAIL CLIENTS : ORIGINAL PUBLISHED TEXT \(SYNTHÈSE DES CONTRÔLES SPOT RELATIVE À LA DÉCLINAISON EN FRANCE DE L'EXERCICE DE SUPERVISION COORDONNÉ PAR L'ESMA SUR LES COÛTS ET FRAIS DES OPCVM COMMERCIALISÉS AUX CLIENTS PARTICULIERS\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : AMF
TITLE : [THE AMF PUBLISHES A SUMMARY OF ITS FINDINGS ON THE COSTS AND FEES OF UCITS MARKETED TO INDIVIDUALS : ORIGINAL PUBLISHED TEXT \(L'AMF PUBLIE LA SYNTHÈSE DE SES CONSTATS SUR LES COÛTS ET FRAIS DES OPCVM COMMERCIALISÉS AUPRÈS DES PARTICULIERS\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : AMF
TITLE : [FUNDS WITH HIGH FEES: THE AMF UPDATES ITS DOCTRINE : ORIGINAL PUBLISHED TEXT \(FONDS PRÉSENTANT DES FRAIS IMPORTANTS : L'AMF MET À JOUR SA DOCTRINE\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : AMF
TITLE : [THE AMF AND THE CNCC PUBLISH A NEW UPDATE TO THE GUIDE TO RELATIONS BETWEEN THE AUTORITÉ DES MARCHÉS FINANCIERS AND STATUTORY AUDITORS : ORIGINAL PUBLISHED TEXT \(L'AMF ET LA CNCC PUBLIENT UNE NOUVELLE MISE À JOUR DU GUIDE DES RELATIONS ENTRE L'AUTORITÉ DES MARCHÉS FINANCIERS ET LES COMMISSAIRES AUX COMPTES\)](#)

PUBLICATION DATE : 2021-12-28 | REGULATOR : BAFIN
TITLE : [PUBLICATION ACCORDING TO § 11A PARAGRAPH 1 VERMANLG : ORIGINAL PUBLISHED TEXT \(VERÖFFENTLICHUNG NACH § 11A ABSATZ 1 VERMANLG\)](#)

PUBLICATION DATE : 2021-12-29 | REGULATOR : BAFIN
TITLE : [SUPERVISORY ASSESSMENT OF BANK-INTERNAL RISK-BEARING CAPACITY PROCEDURES : ORIGINAL PUBLISHED TEXT \(AUFSICHT LICHE BEURTEILUNG BANKINTERNER RISIKOTRAGFÄHIGKEITSVERFAHREN\)](#)

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TITLE : [NAB SETTLEMENT PLANNING - INFORMATION SHEET ON THE MVP SPECIALIST PROCEDURE : ORIGINAL PUBLISHED TEXT \(NAB-ABWICKLUNGSPLANUNG - INFORMATIONSBLETT ZUM MVP-FACHVERFAHREN\)](#)

PUBLICATION DATE : 2021-12-28 | REGULATOR : BAFIN
TITLE : [POST-TRADE TRANSPARENCY: BAFIN CONTINUES TO ALLOW THE LATER PUBLICATION OF TRANSACTIONS : ORIGINAL PUBLISHED TEXT \(NACHHANDELSTRANSPARENZ: BAFIN GESTATTET WEITERHIN DIE SPÄTERE VERÖFFENTLICHUNG VON GESCHÄFTEN\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
TITLE : [FG MARISK: MINUTES OF THE MEETING OF MARCH 22, 2022 : ORIGINAL PUBLISHED TEXT \(FG MARISK: PROTOKOLL DER SITZUNG VOM 22. MRZ 2022\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
TITLE : [FG MARISK: MINUTES OF THE MEETING ON JANUARY 19, 2022 : ORIGINAL PUBLISHED TEXT \(FG MARISK: PROTOKOLL DER SITZUNG VOM 19. JANUAR 2022\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
TITLE : [EXPERT COMMITTEE MINIMUM REQUIREMENTS FOR RISK MANAGEMENT : ORIGINAL PUBLISHED TEXT \(FACHGREMIIUM MINDESTANFORDERUNGEN AN DAS RISIKOMANAGEMENT\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
TITLE : [TRADING PLATFORM TRADERCRYPTOX.COM: BAFIN IS INVESTIGATING THE RESPONSIBLE OPERATOR : ORIGINAL PUBLISHED TEXT \(HANDELSPLATTFORM TRADERCRYPTOX.COM: BAFIN ERMITTELT GEGEN VERANTWORTLICHEN BETREIBER\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
TITLE : [CRYPTO SECURITIES LIST ACCORDING TO EWPG : ORIGINAL PUBLISHED TEXT \(KRYPTOWERTPAPIERLISTE NACH EWPG\)](#)

PUBLICATION DATE : 2022-05-24 | REGULATOR : BAFIN
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TITLE : [ENDOR AG: BAFIN SETS FINE : ORIGINAL PUBLISHED TEXT \(ENDOR AG: BAFIN SETZT GELDBUE FEST\)](#)

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PUBLICATION DATE : 2022-05-25 | REGULATOR : BAFIN
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PUBLICATION DATE : 2022-05-25 | REGULATOR : BAFIN
TITLE : [CONSULTATION OF THE DRAFT ORDINANCE TO AMEND THE CAPITAL INVESTMENT CONDUCT AND ORGANIZATION ORDINANCE : ORIGINAL PUBLISHED TEXT \(KONSULTATION DES ENTWURFS DER VERORDNUNG ZUR NDERUNG DER KAPITALANLAGE-VERHALTENS- UND -ORGANISATIONSVERORDNUNG\)](#)

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PUBLICATION DATE : 2022-05-27 | REGULATOR : BAFIN
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PUBLICATION DATE : 2022-05-20 | REGULATOR : BAFIN
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PUBLICATION DATE : 2022-05-20 | REGULATOR : BAFIN
TITLE : [DRAFT: MINIMUM REQUIREMENTS FOR RESOLVABILITY AS PART OF RESOLUTION PLANNING : ORIGINAL PUBLISHED TEXT \(ENTWURF: MINDESTANFORDERUNGEN AN DIE ABWICKLUNGSFHIGKEIT IM RAHMEN DER ABWICKLUNGSPLANUNG\)](#)

PUBLICATION DATE : 2022-05-20 | REGULATOR : BAFIN
TITLE : [CONSULTATION ON MINIMUM RESOLVABILITY REQUIREMENTS AS PART OF RESOLUTION PLANNING : ORIGINAL PUBLISHED TEXT \(KONSULTATION DER MINDESTANFORDERUNGEN AN DIE ABWICKLUNGSFHIGKEIT IM RAHMEN DER ABWICKLUNGSPLANUNG\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
TITLE : [IDENTITY THEFT AT THE EXPENSE OF ETORO \(EUROPE\) LTD.: BAFIN WARNS OF THE WEBSITE FXTORO.DE : ORIGINAL PUBLISHED TEXT \(IDENTITTSDIEBSTAHL ZU LASTEN DER ETORO \(EUROPE\) LTD.: BAFIN WARNT VOR DEM INTERNETAUFRITRIT FXTORO.DE\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
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PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
TITLE : [PUBLICATION OF FINANCIAL REPORTS: FEDERAL OFFICE OF JUSTICE IMPOSES DISCIPLINARY FINE ON SLEEPZ AG](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
TITLE : [FINANCIAL REPORTING: FEDERAL OFFICE OF JUSTICE IMPOSES A FINE ON SLEEPZ AG : ORIGINAL PUBLISHED TEXT \(FINANZBERICHTERSTATTUNG: BUNDESAMT FR JUSTIZ VERHNGT ORDNUNGSGELD GEGEN DIE SLEEPZ AG\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
TITLE : [FINANCIAL REPORTING: FEDERAL OFFICE OF JUSTICE IMPOSES A FINE ON SLEEPZ AG : ORIGINAL PUBLISHED TEXT \(FINANZBERICHTERSTATTUNG: BUNDESAMT FR JUSTIZ VERHNGT ORDNUNGSGELD GEGEN DIE SLEEPZ AG\)](#)

PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
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PUBLICATION DATE : 2022-05-23 | REGULATOR : BAFIN
TITLE : [PUBLICATION OF FINANCIAL REPORTS: FEDERAL OFFICE OF JUSTICE IMPOSES DISCIPLINARY FINE ON SLEEPZ AG](#)

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