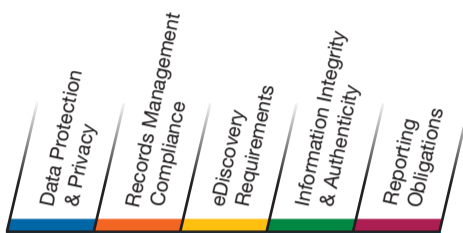
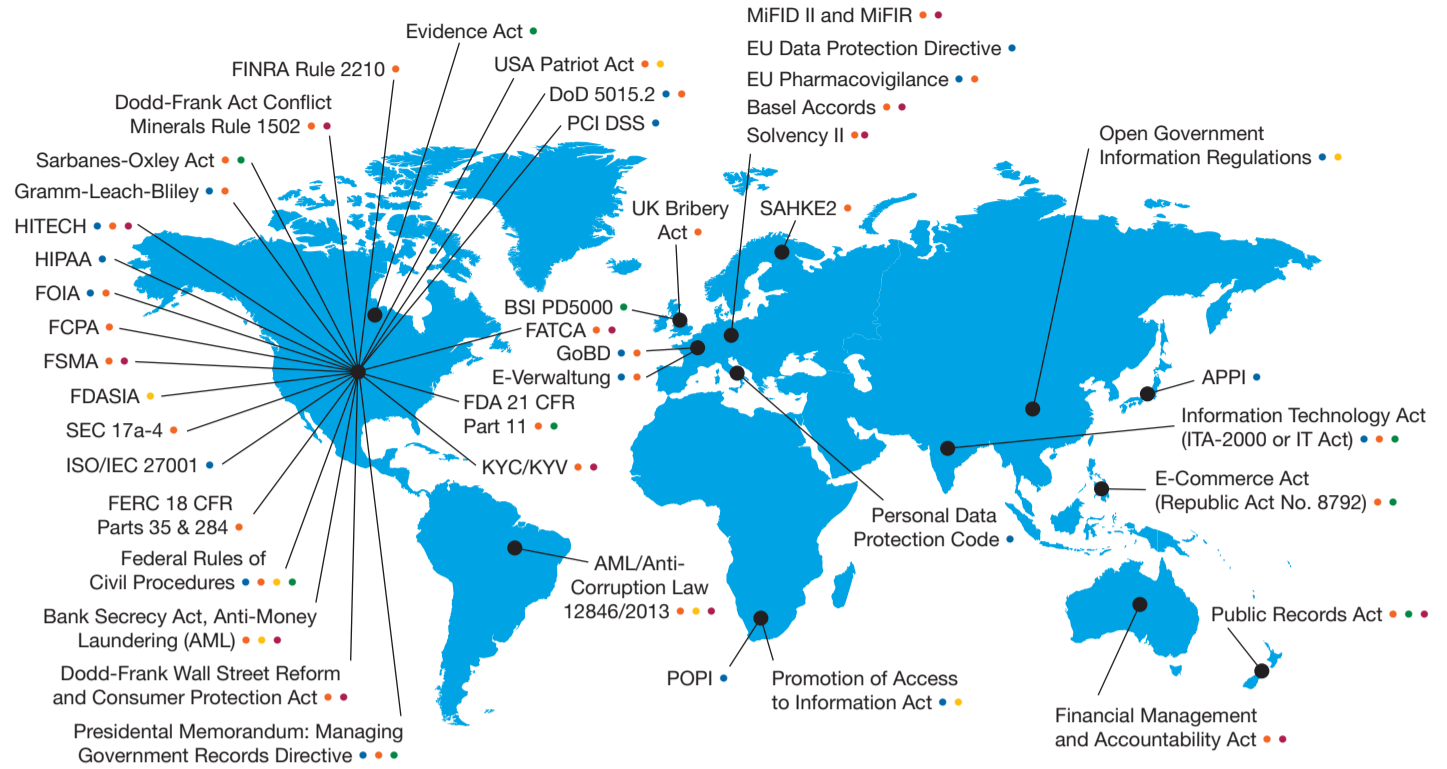


Enterprise Information Management and the World of Regulatory Compliance



Regulation or Standard	Region	Regulators/Enforcers	Industry	Enterprise Information Management (EIM) Requirements				
				Data Protection & Privacy	Records Management Compliance	eDiscovery Requirements	Information Integrity & Authenticity	Reporting Obligations
Dodd-Frank Wall Street Reform and Consumer Protection Act	US	SEC, FDIC, OCC, SIPC, Fed Reserve, others	Financial Institutions		●			●
FATCA (Foreign Account Tax Compliance Act)	US	FINCEN, US Treasury, and IRS	Financial Institutions		●			●
FINRA (Financial Industry Regulatory Authority) Rule 2210	US	FINRA	Financial Institutions		●			
SEC (Securities and Exchange Commission) 17a-4	US	SEC	Financial Institutions		●			
Bank Secrecy Act, Anti-Money Laundering (AML)	US	SEC	Financial Institutions		●	●		●
AML/Anti-Corruption Law	Brazil	Brazil Government	Financial Institutions		●	●		●
KYC (Know Your Customer)	WW	SEC	Financial Institutions and Others		●			●
Gramm-Leach-Bliley	US	Agencies incl: FFIEC, Fed Reserve, NCUA, OCC	Financial Institutions	●	●			
PCI DSS (Payment Card Industry Data Security Standard)	WW*	PCI Security Standard Council	Retail	●				
USA Patriot Act	US	US Govt incl Dept. of Justice, FBI, and INS	All		●	●		
FCPA (Foreign Corrupt Practices Act)	US	SEC and Dept. of Justice	All		●			
ISO IEC (Intl Electrotechnical Commission) 27001	WW	Approved Certification Bodies	All	●				
FRCP (Federal Rules of Civil Procedure)	US	US Government	All	●	●	●	●	
DoD 5015.2 (Dept of Defense Records Mgmt App Design Criteria Standard)	WW*	US Government	Government and Public Sector	●	●			
FDA (Food and Drug Administration) 21 CFR (Code of Federal Regulations) Part 11	US	FDA	Life Sciences		●		●	
HIPAA (Health Insurance Portability and Accountability Act)	US	US Government	Healthcare	●				
HITECH Act	US	FINCEN, US Treasury, and IRS	Financial Institutions	●	●			●
FDASIA (FDA Safety and Innovation Act)	US	FDA	Life Sciences			●		
FSMA (FDA Food Safety Modernization Act)	US	FDA	Food Companies and Facilities		●			●
FERC (Federal Energy Regulatory Commission) 18 CFR Part 35 & Part 284 and Compliance Order No. 717	US	FERC	Public Utilities, Natural Gas, Electric Producers, Gas & Oil Production		●			
Dodd-Frank Act Conflict Minerals Rule 1502	US	SEC	Manufacturing		●			●
TSCA (Toxic Substances Control Act)	US	EPA	Manufacturing		●			●
Evidence Act	Canada	Canadian Government	All				●	
Sarbanes-Oxley Act (SOX)	US	SEC	All Public Companies		●		●	
Presidential Memorandum: Managing Government Records Directive	US	US Government	Government	●	●		●	
FOIA (Freedom of Information Act)	US	US Government	Government	●	●			
Basel Accords (II and III)	WW	Basel Committee; In USA: OCC, FDIC, and Federal Reserve	Financial Institutions		●			●
MIFID II (Markets in Financial Instruments Directive) and MIFIR (Regulation)	EU	EU Commission	Financial Institutions		●			●
Solvency II (Directive 2009/138/EC)	EU	EU Parliament	Financial Institutions					●
BSI (British Standards) Code of Practice, PD 5000:1999	UK	National Archives	All				●	
SAHKE2	Finland	National Archives	Public Sector		●			
Personal Data Protection Code	Italy	Italian Government	All	●				
EU Pharmacovigilance	EU	EU Commission	Life Sciences	●	●			●
Data Protection Directive	EU	EU Commission	All	●				
POPI (Protection of Personal Information Act)	South Africa	South African Government	All	●				
UK Bribery Act	UK	UK Government	All		●			
Promotion of Access to Information Act	South Africa	South African Government	Government	●		●		
E-Verwaltung or "OkeVa"	Germany	Federal Ministry of the Interior	Government	●	●			
GoBD	Germany	Federal Ministry of Finance	All	●	●			
Information Technology Act (ITA-2000 or IT Act)	India	Indian Parliament	All	●	●		●	
Financial Management and Accountability Act	Australia	AU Government	Public Sector		●			●
APPI (Act on the Protection of Personal Information)	Japan	Japanese Government	All	●				
E-Commerce Act (Republic Act No. 8792)	Philippines	Philippine Government	All		●		●	
Open Government Information Regulations	Republic of China	Chinese Government	Government	●		●		
Public Records Act	New Zealand	New Zealand Government	Government		●		●	●

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* Regulation or standard originated in the United States, but has become the defacto compliance requirement around the world.

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