



# Global Coverage. Local Impact. Strategic Foresight.

Ruleguard delivers trusted, transparent, and relevant coverage for financial services.

## When the rules change, you're already prepared

### Client Rules Inventory

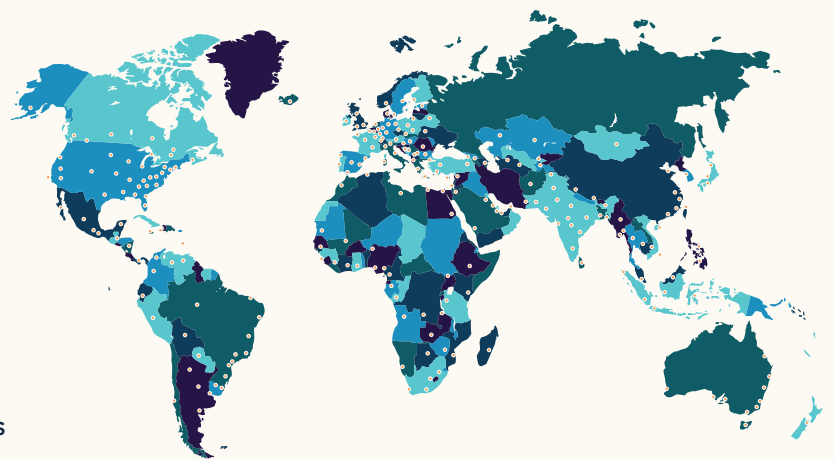
Gain the visibility and assurance you need to stay compliant, before the rules even change.

### Workflow-driven implementation & accountability

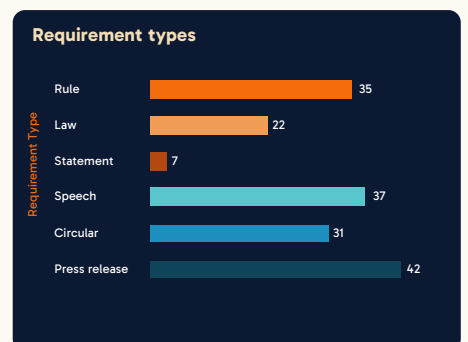
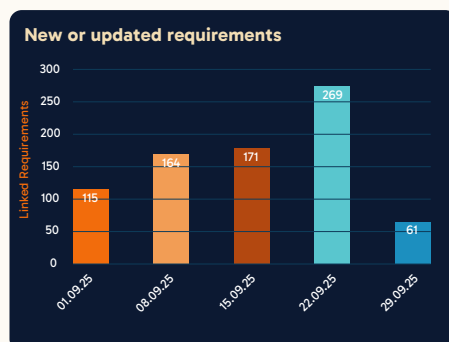
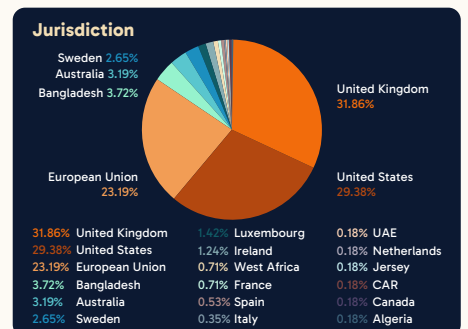
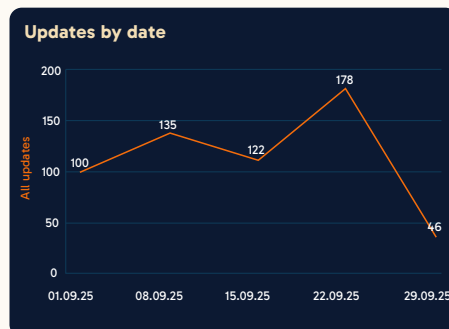
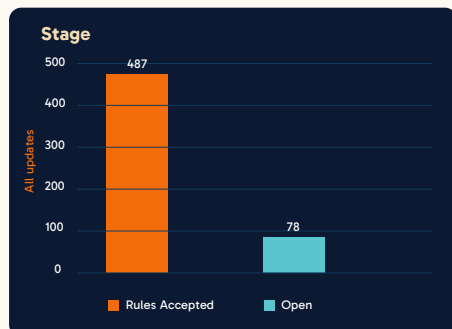
Regulatory updates convert into structured workflows that assign ownership, guide execution, and track global implementation.

### Horizon Scanning

Ruleguard monitors regulatory changes across every major market, in multiple languages, so you're always informed, wherever you operate.



## Gain complete oversight and empower your team to focus on the regulatory changes that matter most





# Regulatory updates made seamless. Compliance made simple.



### Focus On What Matters

Curated coverage of global regulators such as: FCA, PRA, BoE, ESMA, EBA, ECB, APRA, ASIC, MAS, so you get meaningful insights, not noise.



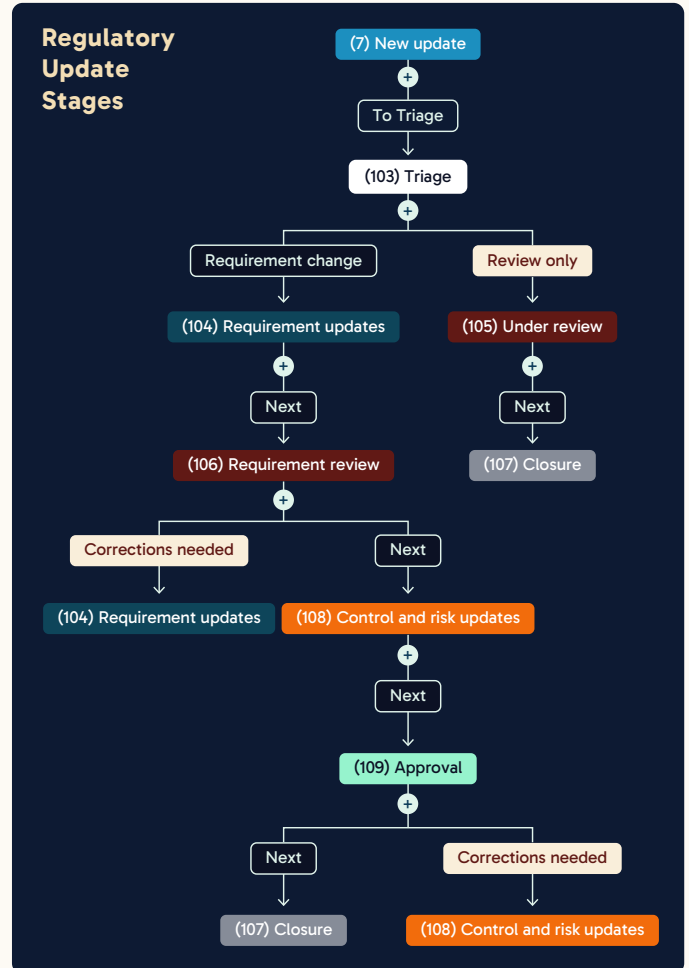
### Transparent & Auditable

An explicit inventory of modules and acts for clear, evidence-ready compliance.



### Depth Where It Matters

Unmatched UK/EU depth with FCA Handbook, PRA PS/SS, and EU regulations, trusted by banks, brokers, and asset managers.



## Industry Challenges

### Rising Volume and Complexity of Regulations

Firms face an ever-growing, fast-changing body of global regulations that are difficult to track, interpret, and prioritise effectively across multiple jurisdictions.

### Resource-Intensive and Time-Sensitive Compliance Processes

Managing regulatory updates demands significant time and manual effort, often straining limited resources and leading to delays, inefficiencies, or missed obligations.

### Fragmented and Disconnected Compliance Frameworks

Regulatory updates are frequently managed in silos, making it hard to connect them to underlying risks, controls, and action, resulting in inconsistent compliance and duplicated effort.

### Oversight, Reporting, and Assurance Challenges

Increasing audit expectations require transparent evidence of how changes are assessed, implemented, and monitored, creating additional reporting and oversight burdens for firms.



# Regulatory Updates - Stay Ahead of Change

**Jurisdiction**  
United Kingdom

**Authority**  
Financial Conduct Authority (FCA)

**Target Requirement**  
DTR TP 1 Disclosure and transparency rules

**CURRENT STAGE**  
New Update received

Update

-> Review & Tagging

**REQUIREMENTS**

FCA > Handbook > Listing, Prospectus and Disclosure > DTR Disclosure Guidance and Transparency Rules sourcesbook

**PREVIEW**

**Title**  
DTR 1.1 Application and purpose (Disclosure guidance)

**Type**  
Section

**Description**

**DTR 1.1 Application and purpose (Disclosure guidance)**

[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering Alternative Performance Measures'. See ESMA guidelines: ESMA Guidelines on Alternative Performance Measures, 5 October 2015 (ESMA/2015/1415).]

DTR 1.1.1G03/07/2016RP  
The disclosure requirements and the disclosure guidance apply to all persons to whom the FCA is obliged to apply the provisions of the Market Abuse Regulation relating to disclosure under article 22 of that Regulation.

**Purpose**  
DTR 1.1.2G03/07/2016RP  
The purpose of DTR 1, DTR 2 and DTR 3 is to provide guidance on aspects of the disclosure requirements.

**TASKS**

Add task

Ruleguard automatically gathers and consolidates updates from trusted global sources, including the FCA, SEC, ECB and other leading regulatory bodies. Our Regulatory Change Management Solution provides horizon scanning to ensure you're working with the latest information, wherever in the world you operate.

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**International**

**United Kingdom (UK)**

**United Kingdom**  
Financial Conduct Authority (FCA)

> FCA Handbook

- ▼ Regulatory Themes
  - > Alternative Investment Fund Managers Directive (AIFMD)
  - > Climate change and sustainable finance (Under rule: Other)
  - > European Market Infrastructure Regulation (EMIR)
  - > Markets in Financial Instruments (MiFID-MiFIR)
  - > Remuneration (Under rule: United Kingdom)
  - > Securities Financing Transactions Regulation (SFTR)
- > News & Publications
- > Prudential Regulation Authority (PRA)
- > Bank of England
- ▼ Other
  - > Legislation
  - > Payment Systems Regulator (PSR)
  - > The Pensions Regulator
  - > Financial Ombudsman Service (FOS)
  - > Corporate Governance Code (Under rule: Other)
  - > Fixed Income Clearing Corporation (FICC) (Under rule: Fixed Income Clearing Corporation)
  - > FX Global Code (Under rule: FX Global code)
  - > Joint Money Laundering Steering Group (JMLSG)
  - > Money Market Code (Under rule: Money market code)
  - > Stewardship Code (Under rule: Stewardship code)
  - > Takeover Code (Under rule: Takeover code)

**Europe**

**Africa**

**Asia Pacific**

**Middle East**

**Compare**

**Previous version**

- (a) impose financial sanctions (see section 3);
- (b) impose immigration sanctions (see section 4);
- (c) impose trade sanctions (see section 5 and Schedule 1);
- (d) impose aircraft sanctions (see section 6);
- (e) impose shipping sanctions (see section 7);
- (f) impose sanctions within section 8 (other sanctions for purposes of UN obligations);
- (g) make supplemental provision in connection with any provision of the regulations or other regulations made under this section.
- (6) In this section supplemental provision includes any provision authorised by any other provision of this Act to be made by regulations under this section (see in particular sections 9 to 17, 19 to 21 and 54).
- (7) In this Act any reference to a gross violation of human rights is to conduct which
  - (a) constitutes, or
  - (b) is connected with,
 the commission of a gross human rights abuse or violation; and whether conduct constitutes or is connected with the commission of such an abuse or violation is to be determined in accordance with section 241A of the Proceeds of Crime Act 2002.
- (8) In this Act
  - UN obligation means an obligation that the United Kingdom has by virtue of a UN Security Council Resolution;
  - UN Security Council Resolution means a resolution adopted by the Security Council of the United Nations;
  - international obligation means an obligation of the United Kingdom created or arising by or under any international agreement.
- (9) For the purposes of any provision of this Act which refers to an appropriate Minister, the following are appropriate Ministers
  - (a) the Secretary of State;

**Updated**

- (a) impose financial sanctions (see section 3);
- (aa) impose director disqualification sanctions (see section 3A);
- (b) impose immigration sanctions (see section 4);
- (c) impose trade sanctions (see section 5 and Schedule 1);
- (d) impose aircraft sanctions (see section 6);
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## Client Rules Inventory

As new rules and updates arrive, compare functions highlight exactly what's changed, making it faster and easier to review, adapt, and stay compliant. Requirements are tagged for easy filtering and customisable workflows allow you to shape the solution to your organisation's needs.

# Why Ruleguard?

Ruleguard's Regulatory Change Management Solution is designed to streamline the process of staying compliant with ever-changing regulations. It provides a comprehensive solution for compliance teams to manage regulatory updates efficiently and effectively.

## Comprehensive Real-Time Monitoring

The platform scans hundreds of regulatory sources worldwide, providing timely updates on relevant changes. This extensive coverage simplifies compliance operations across various jurisdictions.

## Customisable Regulatory Feeds

Firms can tailor regulatory feeds to align with their specific industry, region, and permissions, ensuring that only pertinent information is tracked. This customisation reduces information overload and enhances operational efficiency.

## AI-Powered Summarisation

The solution includes an AI-powered summariser that provides rapid insights into the latest regulations, aiding in swift applicability reviews and risk assessments.

## Seamless Integration with Compliance Tools

Ruleguard's platform integrates regulatory updates with compliance and risk management tools, enabling businesses to address applicable rules within their control environment effectively.

## Unlock the benefits of Ruleguard's Regulatory Change Management Software

### Efficiency

Save time and resources by automating the regulatory update process.

### Accuracy

Minimise the risk of non-compliance with up-to-date information.

### Transparency

Improve visibility into compliance activities and status.

### Scalability

Adapt to the growing and changing regulatory landscape with ease.

## Intuitive experience. End-to-end coverage.



### Expertise

Leverage Ruleguard's deep industry knowledge and experience.



### Support

Benefit from dedicated customer support and training.



### Innovation

Stay ahead with cutting-edge technology and continuous improvements.

## Compliance with confidence.

Ruleguard's **Regulatory Change Management** Software is an essential tool for compliance teams looking to stay ahead of regulatory developments. By automating the monitoring and integration of updates from regulatory bodies, the software ensures that businesses are always informed and compliant with the latest rules. This streamlined approach reduces the risk of missing critical updates and minimises manual effort and error. With features like tailored alerts, actionable insights, and seamless integration into your compliance framework, Ruleguard's solution empowers firms to proactively manage regulatory change with confidence and efficiency.

Schedule a call with us to discover why banks, insurance companies, asset managers, and investment funds trust us to efficiently manage their regulatory updates.



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