

# Compliance Resource Network

## FAQ Sheet

### What is the Compliance Resource Network?

Published by Wolters Kluwer Financial services, the Compliance Resource Network is an online platform that gives compliance professionals within broker-dealer and investment advisory firms fast and convenient access to current regulatory information, requirements and analysis.

Compliance Resource Network subscribers can access a complete collection of Securities Compliance Library resources covering rules and regulations for:

- the U.S. (federal and state)
- the U.K. (determined by the Financial Services Authority)
- Australia
- Canada

Accessible from [cchwallstreet.com](http://cchwallstreet.com), the Compliance Resource Network is an essential tool for the compliance professional who requires complete compliance information in a single product.

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### What advantages does the Compliance Resource Network give to compliance professionals?

**Intuitive Search Engine.** Use keywords across multiple databases (including securities content from federal, state and self-regulatory organizations) to conduct fast and thorough searches.

**Search Results Page.** View search results by category and date, to pinpoint the information you need.

**Save and Reuse Searches.** Customize and rerun the most often-used searches.

**Export Content.** Save information into Microsoft Word or Adobe PDF format for offline use and future reference.

**Daily Compliance News Email.** Delivered to your inbox and custom-tailored with only the content that's relevant to your business.

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## What content does the Compliance Resource Network contain?

**Federal Securities Resource:** Securities Laws, Securities Rules, SEC Releases, SEC No-Action Letters, Other SEC Publications, Commodities Future Trading

**Blue Sky (from 53 jurisdictions):** Blue Sky Updates, Overview of Securities Regulation, Quick Reference, Complete Laws and Regulations, Policies/Orders/Rulings, Court Decisions, North American Securities Administrators Association (NASAA) Guide, NASAA Statements of Policy, Uniform Securities Act

**FINRA:** NASD Manual, NASD Guide to Rules Interpretations, NASD Disciplinary Decisions, Practical Guide to NASD Regulations.

**NYSE:** NYSE Guide, NYSE Interpretation Handbook and Memos, NYSE Listed Company Manual, NYSE Disciplinary Decisions, NYSE Proposed Rule Filings

**Exchanges:** American Stock Exchange (AMEX) Guide, Boston Stock Exchange (BSE), Chicago Board Options Exchange (CBOE), Chicago Stock Exchange (CHX), Municipal Securities Rulemaking Board (MSRB) Manual, National Futures Association (NFA) Manual, National Stock Exchange (NSX), New York Board of Trade (NYBOT), New York Mercantile Exchange (NYME) Guide, NYSE Arca, Options Clearing Corporation (OCC), Philadelphia Stock Exchange (PHLX)

**NASDAQ:** NASDAQ Manual

**Investment Advisor:** Laws and Regulations, Secondary Sources

**International:** Rules and Regulations for Australia, Canada and the United Kingdom

**Rule Archives:** NASD

**Banking:** State Laws and Regulations, Federal Banking Compliance Library, ABA Compliance Audit Manual

**Tracker Archive:** News Spotlight, AMEX, CBOE, CHX, Commodity Futures Trading Commission (CFTC), FINRA, FSA, MSRB, NASDAQ, NFA, NSX, NYSE, (NASAA), NYSE Arca, PHLX, SEC

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## Who will benefit from using the Practical Guide to Bank Compliance?

Compliance professionals will find the Compliance Resource Network to be an essential resource. They include chief compliance officers, directors of compliance and compliance managers in such firms as:

- Investment advisor firms
- Broker-dealer firms
- Law firms
- Stock exchanges
- Federal and state government agencies
- Self-regulatory organizations (SROs)

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## How does compliance fit into the responsibilities of these individuals?

Most financial services firms hire compliance personnel to oversee and manage the compliance issues within their organizations. The responsibilities of the compliance position often include:

- Leading enterprise compliance efforts
- Designing and implementing internal controls
- Creating and implementing policies and procedures to assure compliance with applicable local, state and federal laws and regulations, as well as guidelines from other third parties (i.e., NASD and NYSE)
- Managing audits and investigations into securities regulatory and compliance issues
- Responding to requests for information from regulatory bodies

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## How can the Compliance Resource Network help these individuals?

With the Compliance Resource Network, compliance professionals can access various compliance data from a single point instead of searching multiple exchange and free sites. Additionally, the Compliance Resource Network offers robust and versatile search and usability functions that save compliance professionals valuable research time and money.

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## How does the Compliance Resource Network differ from print resources?

While the Compliance Resource Network and print resources may offer a comparable range of rules, regulations and other information, the Compliance Resource Network is always up-to-date with the latest data. The Compliance Resource Network also features exclusive content that's unavailable in print. Finally, users can share a User ID and password to access the Compliance Resource Network in different—even far-flung—locations.

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## How quickly can a Compliance Resource Network subscription be activated?

While the timing can vary for your firm, subscriptions typically “go live” within 48 hours of ordering.

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## How does the Compliance Resource Network solve the problems compliance professionals face?

Problem	Solution
Financial services firms want to track the latest U.S. federal securities laws.	Compliance Resource Network subscribers can set up a customized news tracker and daily email alert to receive compliance news that directly affects their firm.
Compliance professionals lose valuable time using free search Web sites to research various rules and regulations.	Compliance Resource Network users can pinpoint their searches with keywords, rules and phrases. Plus, they can save frequently-used searches for future research needs.
Compliance professionals would like to know the latest trends and news stories hitting the street.	Leading securities industry reporters write proprietary articles to keep Compliance Resource Network subscribers current with compliance trends and developments.

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## How much does the Compliance Resource Network cost?

Compliance Resource Network pricing is based on the size of your firm and the number of IDs desired. We invite you to speak with your sales representative.

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## Is product training available?

Yes. We will schedule training with you after your order.

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## Is product and technical support available?

Yes—online, by email and over the phone.

Online: [support/cch.com/csinquiry](https://support/cch.com/csinquiry)

Email: [UKsales@wolterskluwer.com](mailto:UKsales@wolterskluwer.com)

Call: 0800 840 1160

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## Access a complete compliance library in one place. Subscribe to the Compliance Resource Network.

Call your sales representative: 0800 840 1160.