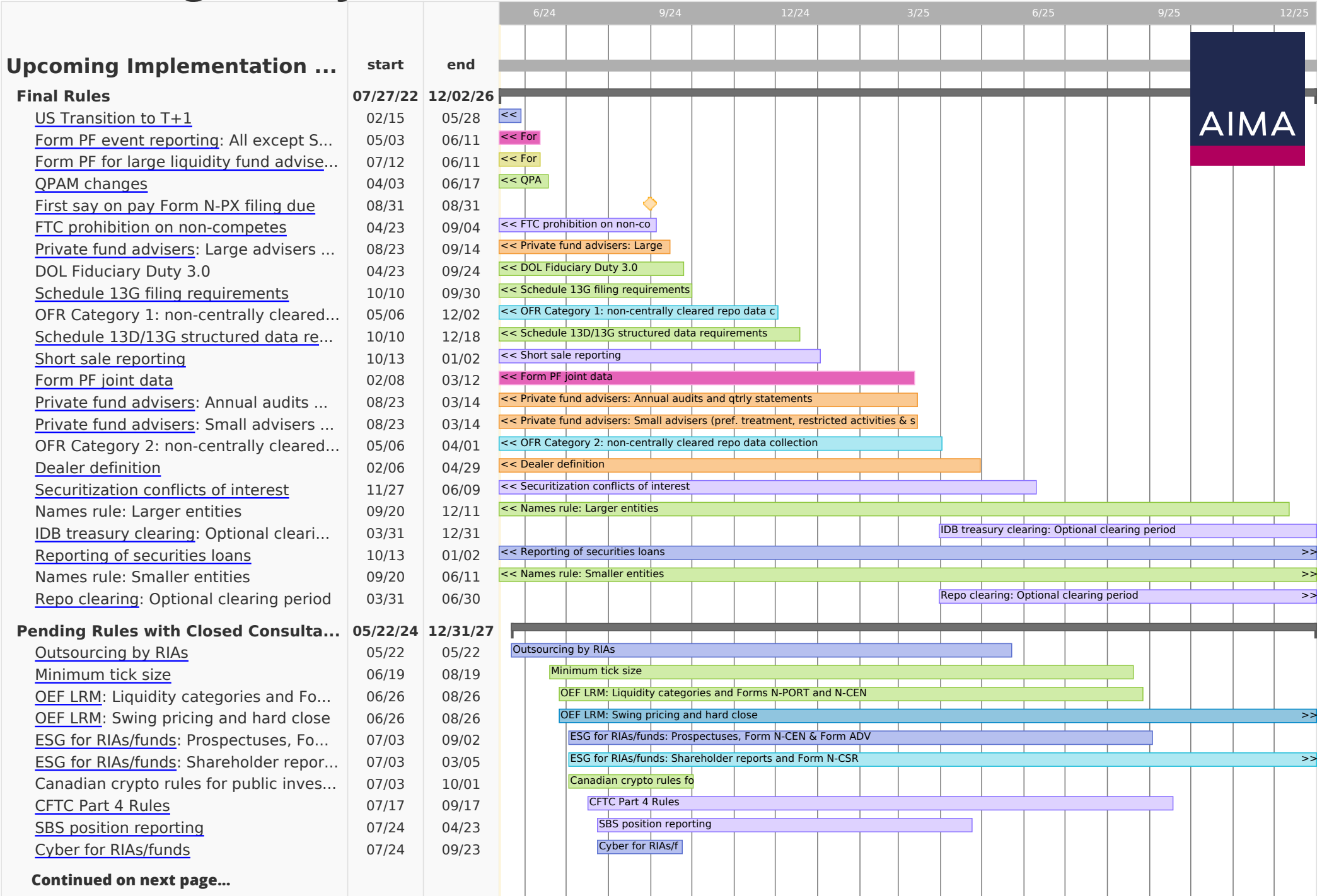


AIMA Regulatory Horizon Scan - North America

Printed: 5/13/24



AIMA

| | | | 6/24 | 9/24 | 12/24 | 3/25 | 6/25 | 9/25 | 12/25 |
|--|-------|-------|------|------|-------|--|--|------|-------|
| NAIC Holistic framework | 08/15 | 08/15 | | ◆ | | | | | |
| FinCEN AML/CFT Requirements for RI... | 11/01 | 01/01 | | | | FinCEN AML/CFT Requirements for RIAs and ERAs >> | | | |
| NAIC reliance on credit ratings | 11/20 | 11/20 | | | ◆ | | | | |
| Predictive Data Analytics | 12/04 | 02/03 | | | | Predictive Data Analytics >> | | | |
| NAIC ABS capital charges | 01/01 | 01/01 | | | ◆ | | | | |
| Safeguarding advisory client assets: ... | 03/26 | 05/26 | | | | | Safeguarding advisory client assets: Larger advisers >> | | |
| Safeguarding advisory client assets: ... | 03/26 | 11/26 | | | | | Safeguarding advisory client assets: Smaller advisers >> | | |

--Click the provided links for more information.

--Dates for pending rules are estimates and subject to change. They have been provided for indicative planning purposes only.

--This version of the AIMA Regulatory Horizon Scan covers dates from 5/13/2024 through 12/31/2025. Some compliance periods started earlier or will end later than this range. See [FAQ](#). **This list is not exhaustive. Other final requirements and proposals may affect business. Do not rely on this as your sole source of information.**



AIMA Regulatory Horizon Scan - EMEA

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Continued on next page...

| | | | 6/24 | 9/24 | 12/24 | 3/25 | 6/25 | 9/25 | 12/25 |
|---|-----------------|-----------------|------------------------------------|------|-------|------|------|------|-------|
| Open Consultations and Other Early... | 05/12/23 | 12/31/27 | | | | | | | |
| UK payment for research (CP 24/7) | 04/10 | 06/05 | << U | | | | | | |
| HMT improving the effectiveness of t... | 02/28 | 06/09 | << HM | | | | | | |
| UK securitisation regulation | 01/01 | 06/01 | << UK securitisation regulation >> | | | | | | |
| UK non-competes | 05/12 | 12/31 | << UK non-competes >> | | | | | | |

--Click the provided links for more information.

--Dates for pending rules are estimates and subject to change. They have been provided for indicative planning purposes only.

--This version of the AIMA Regulatory Horizon Scan covers dates from 5/6/2024 through 12/31/2025. Some compliance periods started earlier or will end later than this range. See [FAQ](#). ***This list is not exhaustive. Other final requirements and proposals may affect business. Do not rely on this as your sole source of information.***



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Explanatory Notes

What do the colors of the bars signify?

The color scheme is based on priority and impact. See the chart to the right. These are judgments made by AIMA staff for the convenience of users, although we appreciate that users could have different views about a proposal's priority or impact on their own business.

How can I access more information about the requirements?

Most of the final rules and pending proposals in the lefthand column have a link under it in the pdf version of the AIMA Regulatory Horizon Scan. Clicking that link will take you to another AIMA website page where, for most of the items on the list, you can read a high-level summary of what is required or proposed to be required. You can also view the full timeline there, and members can access AIMA's work to date on the matter. Where relevant, this page will also contain links through which members can access a full summary of what is required, relevant multimedia content and/or implementation guidance. For some of the items, this link takes members directly to a summary of what is required. In this instance, there will be no additional information available for non-members.

Does the forecast include every proposal and every final regulatory requirement with an open compliance period?



No. This is a curated list that AIMA staff have compiled. There will be proposals that affect members which are not included in the forecast. **Members are urged to use the forecasts in conjunction with other resources available to them when deciding whether they have addressed all applicable regulatory requirements.**

How are the dates for pending proposals estimated?

All of the dates are ESTIMATES, often based on information from the regulators themselves. For each pending proposal, the webpage accessible via the link under the proposal's name includes a full explanation of the basis for that proposal's indicative dates.

Why do the bars start where they do and why do some of the items have two bars?

The start dates are set to the publication date on the relevant agency website and not the Federal Register, Official Journal or similar. These extra days can be used for planning even if the text is not yet officially recognized. Some of the items have two bars because some matters are due at one compliance deadline and other matters are due at a later date. These differences are reflected for clarity.

| | Priority | Impact |
|---|----------|--------|
|  | High | High |
|  | High | Medium |
|  | High | Low |
|  | Medium | High |
|  | Medium | Medium |
|  | Medium | Low |
|  | Low | High |
|  | Low | Medium |
|  | Low | Low |