



SOCIETY OF ACTUARIES

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# CompAct

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## Appendix

### Exhibit A

| A sampling of laws and regulations potentially affecting EUC management |                     |  |
|---|---------------------|--|
| Law or regulation   | Issuing authority   | Primarily applies to   |
| 21 CFR Part 11- FDA   | US                  | FDA-regulated industries – Drug makers, medical device manufacturers, etc. |
| AS5   | US                  | Public companies   |
| Basel II/III  | EU/International    | Banks and financial institutions   |
| California SB 1386  | State of California | All companies doing business in the State of California                    |
| Centers for Medicare & Medicaid Services (OIG)                          | US                  | Firms benefiting from Retiree Drug Subsidy (RDS) program                   |
| CSOX (Canada)   | CA                  | Public companies in Canada   |
| Data Protection Act of 1998   | UK                  | Companies doing business in the UK   |
| DoD 5015.2  | US                  | Government contractors   |
| Dodd-Frank Act  | US                  | Public companies   |
| European privacy regulations  | EU                  | Companies doing business in the European Union                             |
| FASB  | US                  | Public companies   |
| Federal Financial Institution Examination Council guidance              | US                  | Financial institutions   |
| Financial Industry Regulatory Authority (FINRA)                         | US                  | Securities firms   |
| Germany's law on employee confidentiality                               | DE                  | Companies doing business in Germany  |
| Gramm-Leach-Bliley Act (GLBA)   | US                  | Financial institutions   |
| HIPAA   | US                  | Companies that handle healthcare information                               |
| Japan's Financial Instruments and Exchange Law                          | JPN                 | Banks and financial institutions   |
| Markets in Financial Instruments Directive (MiFID)                      | UK                  | Banks and financial institutions   |
| NAIC Model Audit Rule   | US                  | Insurance companies  |
| OMB Circular A-123  | US                  | Federal agencies   |
| Patriot Act   | US                  | Companies doing business in the U.S.                                       |
| PCI DSS   | US                  | All companies that handle credit card information                          |
| Solvency II   | EU                  | Insurance companies operating in the EU                                    |
| Sarbanes-Oxley  | US                  | Public companies   |