

# International Financial Market Regulation

Financial System Inquiry interim report: Submission by the Australian Securities and Investments Commission

Figure 2: International regulation by industry segment

Industry segment	AU	HK	MY	SG	NZ	UK	IE	FR	DE	CA	US
Consumer credit		CB	CB					CB		Govt	Govt
Deposit takers		CB	CB					CB		Govt	Govt
Margin lenders			CB					CB		Govt	SRO
Non-cash payment facilities		CB	CB					Govt		Govt	Govt
Insurers		Govt	CB					Govt		Govt	Govt
Insurance brokers		Govt	CB					Govt		Govt	Govt
Custodians/trustees		Govt	Govt							Govt	Govt
Super/scheme operators		Govt						Govt		Govt	Govt
Fund managers											
Hedge/PE funds											
Financial advisors			SRO							SRO	SRO
Scheme issuers											
Retail derivatives			N/O								
SMSF auditors		N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Investment banks											SRO
FMI operators										SRO	SRO
FMI participants										SRO	SRO
Credit rating agencies					N/A	ESMA	ESMA	ESMA	ESMA		
Auditors		Assoc.		Govt.	Assoc.	SRO	Govt	Govt	Govt	Govt	Govt
Insolvency practitioners		N/A	Govt	Govt.	N/A	SRO	N/A	Govt	Govt	Govt	Govt
Market misconduct		Exch.	Exch.	Exch.	Exch.		Exch.	Exch.	Exch.	SRO	SRO
Company disclosures	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.	Exch.
Mergers and acquisitions	Panel	Panel			Panel	Panel	Panel				
Securities issuers											

  

Key	Directly regulated	Co-regulated	Regulated by another body	Assoc.	CB	ESMA	Industry association	Central bank	European Securities and Markets Authority	Exch.	Securities exchange	Govt.	Another government entity	N/A	Not applicable	N/O	Not occurring	SRO	Self-regulatory organisation
	Light blue	Dark blue	Light grey																

The financial crisis requires a reworking of the basic concepts underlying the regulation of financial markets at the national and international level. The project is a part of the research group Companies, Markets, Society and the Environment. Financial regulation is a form of regulation or supervision, which subjects financial institutions to certain requirements, restrictions and guidelines, aiming to maintain the integrity of the financial system. This may be handled by either a government or non-government organization. Structure of supervision - Authority by country. Finding ways to insulate financial regulation from political meddling is to reduce regulatory arbitrage in a world of global capital markets. This course uses the financial crisis as a starting point to explore the challenges of regulating global financial markets. The course is. The EU works with its international partners to develop consistent policies on the regulation of financial markets and capital movements. Global (Aug. 22, ). 1. Samuel: International Financial Markets and Regulation of Trading of Inte. Published by CWSL Scholarly Commons, New Approaches to International Financial Regulation the limitations and blind spots of classical economic analyses of financial markets that. International. Financial. Markets: A Diverse System Is the Key to Commerce by . Eighth, banks as well as financial markets are regulated, and in both cases. Global regulatory news and implications for the financial services. The Financial Crisis was one of the most significant economic and market failures in. facilitated the international diffusion of regulatory standards and practices, and attempted to The international liberalisation of financial markets which gathered. sation of financial markets outpaced global regulatory and supervisory efforts. The external role, in particular in the reform of international financial regulation ?. The international financial regulation agenda has progressed substantially Market Infrastructure Regulation (EMIR), the Markets in Financial Instruments. Schenk, C. () The regulation of international financial markets from the s to the s. In: Battilossi, S. and Reis, J. (eds.) State and. The focus lies on the global framework. 8 Should domestic supervisors be adapted to the intricacies of international financial markets or does the world need. At present primarily governed by market forces with little regulatory interference, international financial relations have become increasingly important for global.

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