

Regulator

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Discussion

A Regulator represents a public authority or delegated supervisory body that reviews governed work for compliance with applicable laws, regulations, supervisory expectations, jurisdictional obligations, and policy requirements.

The Regulator relies on qualification records, policy references, evidence references, non-performance indicators, settlement records, and audit artifacts to determine whether governed work occurred under the required legal and supervisory conditions. The Regulator does not need routine access to all business content when evidence references, classification metadata, and governed records provide sufficient supervisory visibility.

The Regulator's primary concerns include legal compliance, supervisory accountability, jurisdictional obligations, policy compliance, evidence availability, and traceability of the work governed.

Definition

public authority or delegated supervisory body that reviews governed work for compliance with applicable laws, regulations, supervisory expectations, or jurisdictional obligations

Source

Financial Systems Archetype, Part 7: Governed Node Service Market

Note

A Regulator differs from an Auditor. A Regulator exercises legal, supervisory, or delegated public authority. An Auditor reviews evidence, traceability, conformance, or accountability within the audit scope.

A Regulator may rely on audit results, but regulatory review and audit review do not represent the same function.

Example

A financial regulator reviews whether FX transactions are subject to sanctions screening, anti-money-

laundrying review, and evidence retention used by Qualified Nodes operating under the required jurisdictional, residency, sovereignty, policy, and evidence obligations.

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