



- (51) **International Patent Classification:**
G06F 17/30 (2006.01) *G06Q 50/26* (2012.01)
- (21) **International Application Number:**
PCT/US2013/032087
- (22) **International Filing Date:**
15 March 2013 (15.03.2013)
- (25) **Filing Language:** English
- (26) **Publication Language:** English
- (30) **Priority Data:**
13/422,949 16 March 2012 (16.03.2012) US
13/422,955 16 March 2012 (16.03.2012) US
- (71) **Applicant:** THOMSON REUTERS GLOBAL RESOURCES [IE/CH]; Neuhofstrasse 1, CH-6304 Baar (CH).
- (72) **Inventor; and**
- (71) **Applicant (for US only):** DICK, Zane [US/US]; 1252 Hardwood Lane, Webster, New York 14580 (US).
- (72) **Inventors:** LALONDE, Gary; 288 Frisbee Hill Road, Hilton, New York 14468 (US). PULVER, Janna; 52 Ross Street, Rochester, New York 14615 (US). SEIDEL, Row-

an, C.; 87 Edinburgh Street, Rochester, New York 14608 (US). THODY, Lora; 35 Furlong Road, Rochester, New York 14623 (US).

- (74) **Agents:** MARSH, Richard, M., Jr. et al.; Faegre Baker Daniels LLP, 2200 Wells Fargo Center, 90 South Seventh Street, Minneapolis, Minnesota 55402 (US).

- (81) **Designated States** (*unless otherwise indicated, for every kind of national protection available*): AE, AG, AL, AM, AO, AT, AU, AZ, BA, BB, BG, BH, BN, BR, BW, BY, BZ, CA, CH, CL, CN, CO, CR, CU, CZ, DE, DK, DM, DO, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, GT, HN, HR, HU, ID, IL, IN, IS, JP, KE, KG, KM, KN, KP, KR, KZ, LA, LC, LK, LR, LS, LT, LU, LY, MA, MD, ME, MG, MK, MN, MW, MX, MY, MZ, NA, NG, NI, NO, NZ, OM, PA, PE, PG, PH, PL, PT, QA, RO, RS, RU, RW, SC, SD, SE, SG, SK, SL, SM, ST, SV, SY, TH, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, ZA, ZM, ZW.

- (84) **Designated States** (*unless otherwise indicated, for every kind of regional protection available*): ARIPO (BW, GH, GM, KE, LR, LS, MW, MX, MY, MZ, NA, NG, NI, NO, NZ, OM, PA, PE, PG, PH, PL, PT, QA, RO, RS, RU, RW, SC, SD, SE, SG, SK, SL, SM, ST, SV, SY, TH, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, ZA, ZM, ZW).

[Continued on next page]

- (54) **Title:** SYSTEM AND METHOD FOR AUTOMATED COMPLIANCE VERIFICATION

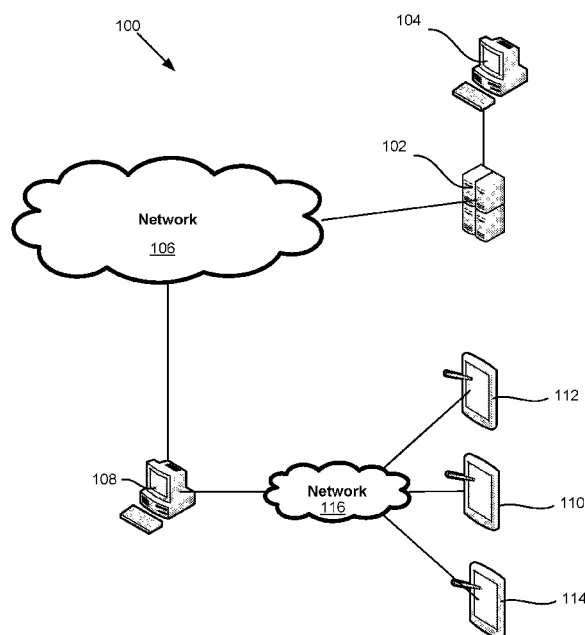


FIG. 1

- (57) **Abstract:** A compliance computer creates compliance documents referencing one or more rules with which an entity must comply and/or a jurisdiction and topic related to rules with which the company must comply. For example, the compliance documents may identify one or more jurisdictions in which the company operates, one or more topics associated with the company, and/or specific provisions set by specific rules. A transmission object is created based on the compliance documents. The transmission object includes general information pertinent to the rules and/or the entity (e.g., jurisdictional or topical information). An operator server receives one or more transmission objects from one or more compliance computers. The operator server identifies rules pertinent to each transmission object and conducts a search to determine whether any of those rules have been modified. The operator server sends a signal that is associated with the one or more compliance rules to the compliance computer.



EE, ES, FI, FR, GB, GR, HR, HU, IE, IS, IT, LT, LU, **Published:**

LV, MC, MK, MT, NL, NO, PL, PT, RO, RS, SE, SI, SK,

SM, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ,

GW, ML, MR, NE, SN, TD, TG).

— *with international search report (Art. 21(3))*