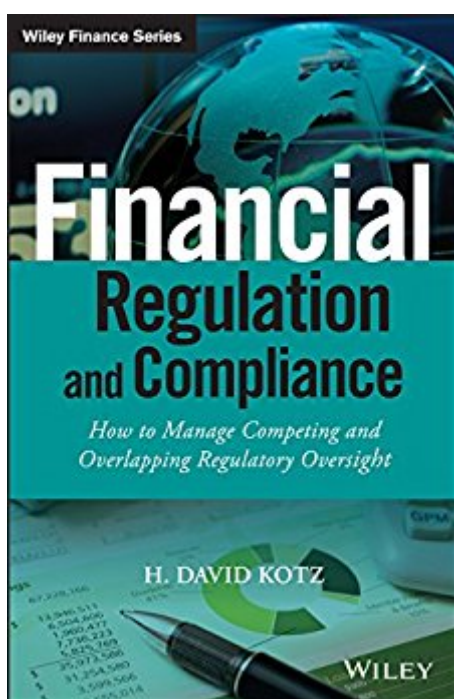


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# Financial Regulation And Compliance: How To Manage Competing And Overlapping Regulatory Oversight (The Wiley Finance Series)



## Synopsis

Devise an organized, proactive approach to financial compliance Financial Regulation and Compliance provides detailed, step-by-step guidance for the compliance professional seeking to manage overlapping and new regulatory responsibilities. Written by David Kotz, former Inspector General of the SEC with additional guidance provided by leading experts, this book is a one-stop resource for navigating the numerous regulations that have been enacted in response to the financial crisis. You'll learn how best to defend your organization from SEC, CFTC, FINRA, and NFA Enforcement actions, how to prepare for SEC, FINRA, and NFA regulatory examinations, how to manage the increasing volume of whistleblower complaints, how to efficiently and effectively investigate these complaints, and more. Detailed discussion of the regulatory process explains how aggressive you should be in confronting federal agencies and self-regulatory organizations and describes how commenting on issues that affect your business area can be productive or not. The companion website includes a glossary of terms, regulations and government guidance, relevant case law, research databases, and FAQs about various topics, giving you a complete solution for keeping abreast of evolving compliance issues. These days, compliance professionals are faced with a myriad of often overlapping regulatory challenges. Increased aggressiveness on the part of regulators has led to increased demand on financial firms, but this book provides clear insight into navigating the changes and building a more robust compliance function. Strengthen internal compliance and governance programs Manage whistleblower programs and conduct effective investigations Understand how to minimize exposure and liability from Enforcement actions Learn how to prepare for the different types of regulatory examinations Minimize exposure from FCPA violations Understand the pros and cons of commenting on regulations The volume and pace of regulatory change is causing new and diverse pressures on compliance professionals. Navigate the choppy waters successfully with the insider guidance in Financial Regulation and Compliance.

## Book Information

File Size: 983 KB

Print Length: 256 pages

Publisher: Wiley; 1 edition (July 6, 2015)

Publication Date: July 6, 2015

Sold by:Â Digital Services LLC

Language: English

ASIN: B0119JM56C

Text-to-Speech: Enabled

X-Ray: Not Enabled

Word Wise: Enabled

Lending: Not Enabled

Enhanced Typesetting: Enabled

Best Sellers Rank: #554,723 Paid in Kindle Store (See Top 100 Paid in Kindle Store) #84

in Kindle Store > Business & Money > Finance > Financial Risk Management #403 in Kindle Store > Kindle eBooks > Law > Administrative Law #1437 in Kindle Store > Kindle eBooks > Business & Money > Finance

## Customer Reviews

David Kotz's book is a readable resource for compliance professionals that contains valuable information about a variety of regulatory challenges. I especially liked the added expertise from former governmental officials who provide practical advice for companies facing SEC exams and investigations. I have not seen a book before that incorporates so much knowledge and information about so many specific areas. As a compliance officer at a broker-dealer that faces SEC and FINRA exams routinely, I found the information contained in those chapters particularly helpful. I also enjoyed the chapter on participating in the regulatory comment process particularly instructive. Finally, Mr. Kotz's description of the investigations he conducted while at the SEC were fascinating and he offers some very interesting perspectives on overlapping regulations. In all, I highly recommend the book for compliance professionals in a wide variety of companies and businesses.

Wonderful resource for financial institutions. Helps with devising a proactive approach to financial compliance. Riveting stories about the author's investigation of the Madoff Ponzi scheme. Valuable information presented in a clear precise format. A must read for all my business students. SC Steuer

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