

1. Record Nr.	UNINA9910131512203321
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Titolo	Financial regulation and compliance : how to manage competing and overlapping regulatory oversight / / H. David Kotz
Pubbl/distr/stampa	Hoboken, New Jersey : , : Wiley, , 2015 ©2015
ISBN	1-118-97222-8 1-118-97224-4 1-118-97223-6
Edizione	[1st edition]
Descrizione fisica	1 online resource (251 p.)
Collana	Wiley Finance Series
Disciplina	346.73/08
Soggetti	Financial institutions - Law and legislation - United States
Lingua di pubblicazione	Inglese
Formato	Materiale a stampa
Livello bibliografico	Monografia
Note generali	Includes index.
Nota di bibliografia	Includes bibliographical references and index.
Nota di contenuto	Jurisdiction of regulators : who regulates whom and what -- How to strengthen governance and compliance in light of new regulations -- How to manage whistleblowers : complaints -- How to defend SEC examinations.
Sommario/riassunto	"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*"--
