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Nota di contenuto	Essential Strategies for Financial Services Compliance; Contents; Acknowledgements; List of Abbreviations; Preface (Or, How Not to be an Execution Officer); Foreword; PART I COMMENTARY AND CONTEXT; 1 The UK Regulatory Environment; 2 The Compliance Function; 3 The Compliance Contract; 4 Mapping Your Compliance Universe; 5 Mapping Your Corporate Universe; 6 Regulators and Other Industry Bodies; 7 The Legislative Environment and Rules Mapping; 8 Financial Products, Services and Documentation; 9 Compliance Outside the Compliance Department; 10 Key Compliance Department Activities 11 Comply or Die - When Things go Wrong APPENDICES; A Routine Compliance Activities; B Routine Anti-Money Laundering Activities; C Compliance in the Front Office; D Compliance for Senior Management, the Back Office and Other Support Departments; E Compliance Conundrums - What Would You Do?; PART II COMPLIANCE PERSPECTIVES; Box 1: Acting on Principle; Box 2: ARROW; Box 3: Basel II and CRD; Box 4: Extradition; Box 5: Financial Services Action Plan; Box 6: Going Global?; Box 7: Industry Guidance; Box 8: L&G v. the FSA - Who are the real winners and losers?

Box 9: Markets in Financial Instruments Directive Box 10: Money Laundering Statistics; Box 11: Prudential Regulation of Capital Adequacy; Box 12: The Enforcement Process - Getting on the wrong side of the FSA; Box 13: The Lamfalussy Process; Box 14: The Laundering Process; Box 15: Treating Customers Fairly; Index

Sommario/riassunto

Compliance officers perform a vital, yet unpopular role in the business world as they advise on complying with myriad rules and regulations. What is good for compliance is sometimes seen as being bad for business, making a compliance officer's role a difficult one. Essential Strategies for Financial Services Compliance offers practical guidance on how to apply a regulatory requirement to day to day situations. It also shows how to communicate the compliance department's activities to the rest of the firm, how the role fits within the organization as a whole, what the scope and limitatio

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