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MEMORANDUM; EVALUATING THE SEABOARD CRITERIA IN MITIGATING ENFORCEMENT ACTIONS; NOTES; Chapter 4: Caremark and Sarbanes-Oxley: Enhancing Compliance; THE CAREMARK CASE; CAREMARK: A CRITICAL LOOK BACK; SOX RECONSIDERED; ADDITIONAL COMPLIANCE LAWS AND STANDARDS; NOTES; Chapter 5: CA's Compliance Rebirth: Don't Lie, Don't Cheat, Don't Steal; THE "35-DAY MONTH" ACCOUNTING FRAUD; THE DEFERRED PROSECUTION AGREEMENT CA'S FIRST CHIEF COMPLIANCE OFFICER UNFETTERED ACCESS; BUILDING THE COMPLIANCE PROGRAM; CA'S REVISED CODE OF CONDUCT; JOINING THE DEFENSE INDUSTRY INITIATIVE; CA'S TONE AT THE TOP; RESPONSE TO VIOLATIONS OF BUSINESS PRACTICES; ENSURING FUTURE COMPLIANCE; BUSINESS PRACTICE OFFICERS; COMPLIANCE AND ETHICS LEADERSHIP COUNCIL PROGRAM ASSESSMENT; PAT GNAZZO'S FIVE BEST PRACTICES FOR A WORLD-CLASS COMPLIANCE PROGRAM; A NEW ERA OF OPPORTUNITY; NOTES; Chapter 6: The International Landscape of Compliance; THE FOREIGN CORRUPT PRACTICES ACT; SCHNITZER STEEL AND THE FCPA METCALF AND EDDY CIVIL FCPA SETTLEMENT THE CHALLENGE OF IMPLEMENTING CORPORATE COMPLIANCE IN FOREIGN ISSUERS; NOTES; Chapter 7: Compliance Programs and Anti-Money Laundering Efforts; WHAT IS MONEY LAUNDERING?; BANK SECRECY ACT; USA PATRIOT ACT; NON-FINANCIAL INSTITUTIONS; COMPLIANCE PROGRAMS; THE RISE OF FOREIGN STATUTES; NOTES; About the Chapter Authors; Chapter 8: Interview with an Ethics and Compliance Thought Leader; NOTES; Chapter 9: Building a World-Class Compliance Program: The Seven Steps in Practice (Part I); THE SEVEN STEPS TO AN EFFECTIVE COMPLIANCE PROGRAM; SEVEN STEPS OVERVIEW STEP 1: COMPLIANCE STANDARDS AND PROCEDURES STEP 2: ORGANIZATIONAL LEADERSHIP AND A CULTURE OF COMPLIANCE; STEP 3: REASONABLE EFFORTS TO EXCLUDE PROHIBITED PERSONS; NOTES; Chapter 10: Building a World-Class Compliance Program: The Seven Steps in Practice (Part II); STEP 4: TRAINING AND COMMUNICATION OF STANDARDS AND PROCEDURES; STEP 5: MONITORING, AUDITING, AND EVALUATING PROGRAM EFFECTIVENESS; STEP 6: PERFORMANCE INCENTIVES AND DISCIPLINARY ACTION; STEP 7: RESPONSE TO CRIMINAL CONDUCT AND REMEDIAL ACTION; AVOIDING ACCIDENTS ON THE ROAD TO COMPLIANCE; NOTES Chapter 11: Recognizing Compliance Excellence: Premier, Inc. and Winning the Baldrige Award\*

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Sommario/riassunto

Written by a long-standing practitioner in the field, this timely and critical work is your best source for understanding all the complex issues and requirements associated with corporate compliance. It provides clear guidance for those charged with protecting their companies from financial and reputational risk, litigation, and government intervention, who want a robust guide to establish an effective compliance program.

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