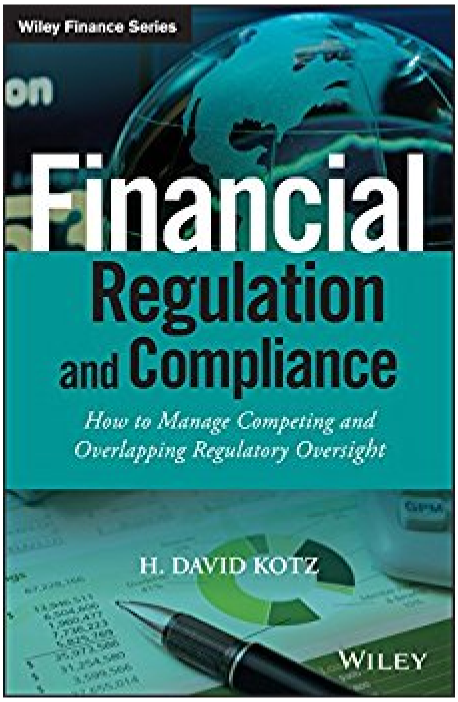
# Financial Regulation And Compliance: How To Manage Competing And Overlapping Regulatory Oversight (The Wiley Finance Series)



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

## Customer Reviews

David Kotzâ ™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. Kotzâ ™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 fiancial compliance. Riveting stories about the authors investigation of the Madoff Ponzi scheme. Valuable information presented in a clear precise format. A must read for all my business students. SC Steuer



Financial Regulation and Compliance: How to Manage Competing and Overlapping Regulatory Oversight (The Wiley Finance Series) Financial Regulation and Compliance, + Website: How to Manage Competing and Overlapping Regulatory Oversight (The Wiley Finance Series) Wiley GAAP: Financial Statement Disclosures Manual (Wiley Regulatory Reporting) Corporate Finance: Corporate Finance Guide To Understanding Corporate Finance With Strategies For Business

Owners For Utilizing Corporate Finance Including ... Finance Business, Theory And Practice) Lessons in Corporate Finance: A Case Studies Approach to Financial Tools, Financial Policies, and Valuation (Wiley Finance) Wiley GAAP for Governments 2016: Interpretation and Application of Generally Accepted Accounting Principles for State and Local Governments (Wiley Regulatory Reporting) Wiley Not-for-Profit GAAP 2015: Interpretation and Application of Generally Accepted Accounting Principles (Wiley Regulatory Reporting) Wiley GAAP 2015: Interpretation and Application of Generally Accepted Accounting Principles 2015 (Wiley Regulatory Reporting) Wiley GAAP 2016: Interpretation and Application of Generally Accepted Accounting Principles (Wiley Regulatory Reporting) Wiley IFRS: Practical Implementation Guide and Workbook (Wiley Regulatory Reporting) Health Care Fraud and Abuse: A Physician's Guide to Compliance (Billing and Compliance) Wiley CPAexcel Exam Review 2016 Study Guide January: Regulation (Wiley Cpa Exam Review) Wiley CPAexcel Exam Review 2015 Study Guide (January): Regulation (Wiley Cpa Exam Review) Wiley CPAexcel Exam Review 2015 Study Guide July: Regulation (Wiley Cpa Exam Review) The New Era of Regulatory Enforcement: A Comprehensive Guide for Raising the Bar to Manage Risk Understanding Ponzi Schemes: Can Better Financial Regulation Prevent Investors from Being Defrauded? (New Horizons in Money and Finance series) The Valuation of Financial Companies: Tools and Techniques to Measure the Value of Banks, Insurance Companies and Other Financial Institutions (The Wiley Finance Series) The Handbook to IFRS Transition and to IFRS U.S. GAAP Dual Reporting (Wiley Regulatory Reporting) Principles of Corporate Finance (The Mcgraw-Hill/Irwin Series in Finance, Insurance, and Real Estate) (McGraw-Hill/Irwin Series in Finance, Insurance and Real Estate (Hardcover)) Big Data in Banking: With Applications in Finance, Investment, Wealth and Asset Management (The Wiley Finance Series)