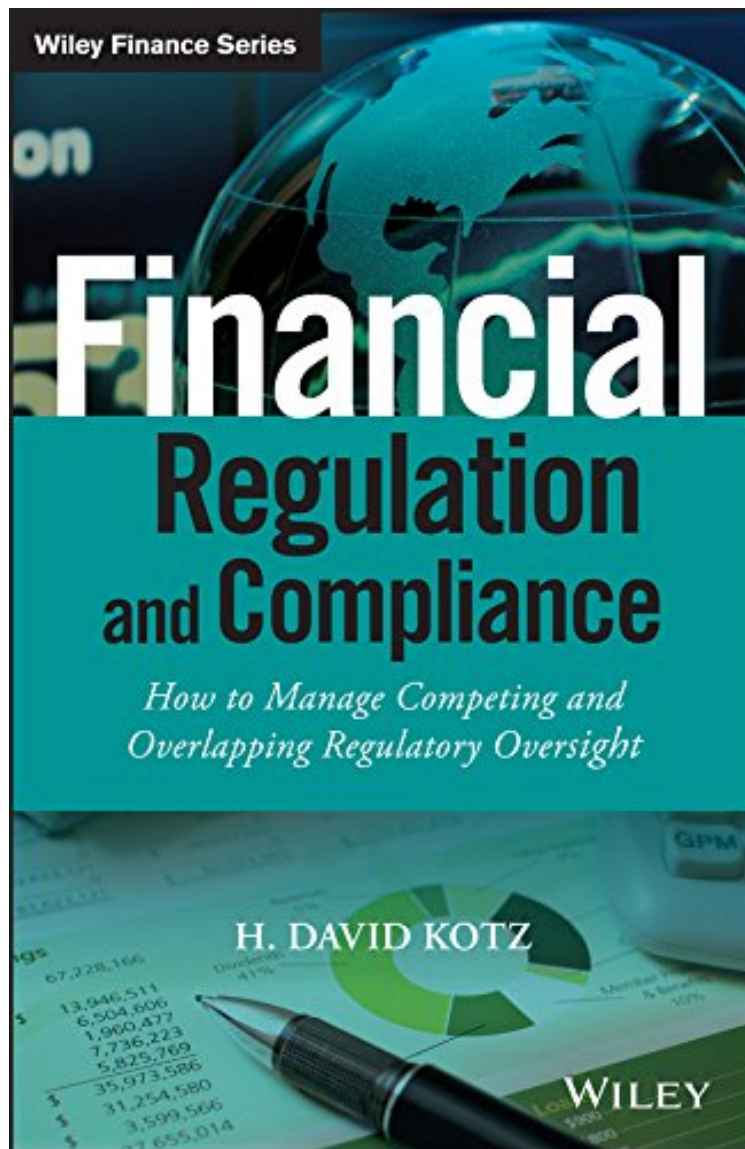


(Free pdf) Financial Regulation and Compliance: How to Manage Competing and Overlapping Regulatory Oversight (The Wiley Finance Series)

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

*H. David Kotz*

*\*Download PDF | ePub | DOC | audiobook | ebooks*



[Download](#)

[Read Online](#)

#907568 in eBooks 2015-07-06 2015-07-06 File Name: B0119JM56C | File size: 71.Mb

**H. David Kotz : Financial Regulation and Compliance: How to Manage Competing and Overlapping Regulatory Oversight (The Wiley Finance Series)** before purchasing it in order to gauge whether or not it would be worth my time, and all praised Financial Regulation and Compliance: How to Manage Competing and Overlapping Regulatory Oversight (The Wiley Finance Series):

5 of 5 people found the following review helpful. Extremely valuable information resource  
By Jane Donovan  
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.  
5 of 5 people found the following review helpful. A Must Read  
By Sharon  
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

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.

From the Inside Flap  
The tremendous volume and accelerated pace of regulatory change combined with overlapping requirements and the increased aggressiveness on the part of regulators has led to a greater demand for compliance on the part of financial firms. In order to respond appropriately to regulatory requirements, companies must develop effective policies and procedures, ensure internal accountability, and establish an ethical culture throughout the organization. Financial Regulation and Compliance and its companion website provide a comprehensive guide for managing overlapping and new regulatory responsibilities. Author David Kotz — former Inspector General of the SEC — with support from leading expert contributors, has written an important resource for navigating the numerous regulations that have been enacted in response to the financial crisis and offers the necessary tools to meet the challenge of confusing regulatory requirements. Using this resource, compliance professionals will have a clear understanding of how to defend their organizations from SEC, CFTC, FINRA, and NFA enforcement actions and will receive guidance for preparing for SEC, FINRA, and NFA regulatory examinations. In addition, the author offers important information for managing the increasing volume of whistleblower complaints, reducing FCPA exposure, and shows how to efficiently and effectively conduct an internal investigation in order to respond appropriately to regulatory requirements. Kotz includes a thorough discussion of the regulatory process and explains how assertive to be when confronting each particular federal agency and self-regulatory organization. He explains how to establish collegial and positive relationships with regulators by understanding their unique regulatory mission, perspective and processes, listening to concerns, being organized, open, and responsive in regulatory communications, and demonstrating that the mutual goal is full compliance. The companion website includes a glossary of terms, research databases, which include regulations and governmental guidance, and FAQs about various topics covered in the text. It also offers a solution for keeping abreast of evolving compliance issues. Financial Regulation and Compliance provides clear insight for understanding compliance changes in order to build a more robust compliance function.  
From the Back Cover  
Devise an Organized and Proactive Approach to Financial Compliance "The financial regulatory system has been modified to address various sources of potential financial instability and attempt to provide regulation

and a structure for areas with purported regulatory gaps. With each new crisis, efforts are made to address perceived weaknesses in the regulatory system. The result is a complex regulatory system in which federal agencies have overlapping jurisdictions." mdash;From Chapter 1 Financial Regulation and Compliance offers compliance officers and organization leaders a step-by-step guide for managing overlapping and new regulatory responsibilities. David Kotz (a former Inspector General of the SEC), with support from leading expert contributors, includes the information and strategies needed for understanding and applying the numerous regulations that have been enacted since the most recent global financial crisis. Comprehensive in scope, the book and companion website reveal how an organization can strengthen internal compliance and governance programs and defend from SEC, CFTC, FINRA, and NFA enforcement actions. The text also reveals how to best prepare for SEC, FINRA, and NFA regulatory examinations. Kotz includes vital information for handling the increasing volume of whistleblower events and shows what it takes to effectively address these complaints. He also provides advice on how to reduce FCPA exposure and implement effective ethics policies and procedures. This detailed discussion of the regulatory process explains how to best deal with federal agencies and self-regulatory organizations and cautions how commenting on issues that affect a business area can be either productive or counterproductive. In addition, the book is filled with fascinating stories and anecdotes from the high-profile investigations the author conducted while serving as Inspector General of the SEC, including his investigation of Bernard Madoff's \$50 billion Ponzi scheme. With Financial Regulation and Compliance as your hands-on guide, you will be able to successfully navigate the turbid waters currently faced by global compliance professionals.

About the AuthorH. DAVID KOTZ serves as a Managing Director at Berkeley Research Group (BRG), an international expert services and consulting firm that offers independent expert testimony, litigation and regulatory support, authoritative studies, strategic advice, and document and data analytics. At BRG, Kotz focuses on internal investigations and consults with and provides expert testimony on the regulation of and securities trading by broker-dealers, investment advisers, hedge funds, insurance companies and banks. He also serves as a compliance monitor for firms that have entered into deferred prosecution agreements and similar arrangements with government agencies. Previously, Kotz served as the Inspector General of the Securities and Exchange Commission (SEC).