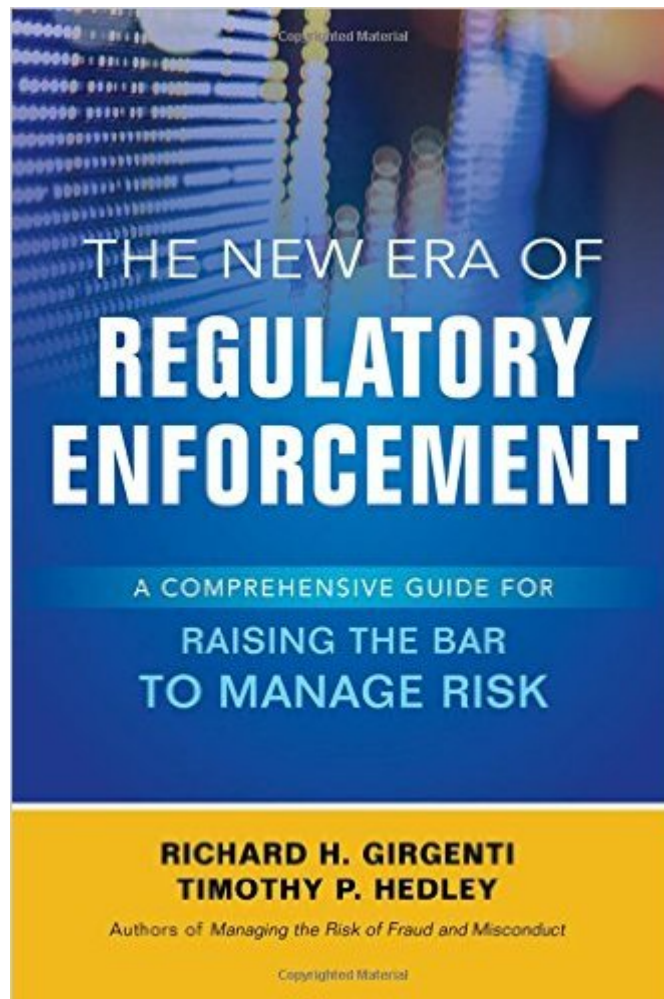


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The New Era Of Regulatory Enforcement: A Comprehensive Guide For Raising The Bar To Manage Risk



Synopsis

Mitigate risk and achieve high-level business performance in today's regulatory and enforcement environment. The outset of the 21st century has seen a relentless flow of events from the 9/11 terrorist attack to the 2008 financial recession that have given birth to a new regulatory and enforcement landscape. In today's global and digital world, this increasingly complex landscape has created unprecedented challenges and risks for businesses in all industries. The New Era of Regulatory Enforcement provides an overview of the challenges companies face in conducting business in this new environment. It discusses the government policies, strategies and tactics driving enforcement activity and outlines the most effective approaches for preventing, detecting, and responding to the risks presented. Authors Rich Girgenti and Tim Hedley--two highly experienced professionals at KPMG who daily work with organizations around the globe to help them understand and manage these challenges--draw upon their years of experience in both the private and public sector to provide an overview of the new regulatory and enforcement landscape and a framework for compliance. Assisted by a team of subject matter professionals, the book covers a broad range of topics including: bribery and corruption, money laundering and trade sanctions, market manipulation, financial reporting fraud, off-shore tax evasion, unfair and abusive consumer finance practices, and fraud and misconduct in the Healthcare and Life Sciences industries. Prudent and diligent organizations must take the necessary steps to preserve the hard-earned value of their companies. In doing so, they will not only help improve their chances for sustainable business success, but also create benefit for their employees, shareholders, customers, and the public at large.

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Customer Reviews

In their previous book, *Managing the Risk of Fraud and Misconduct: Meeting the Challenge of a Global, Regulated, and Digital Environment*, Girgenti and Hedley provided readers ranging from “C-level” officers to small business owners to business students with an eye-opening look at the breadth of the regulatory environment facing businesses. *The New Era of Regulatory Enforcement: A Comprehensive Guide for Raising the Bar to Manage Risk* not only addresses the massive changes in all areas of regulation since publication of their first book, it also expands its thorough treatment to many new topics, including market manipulation and insider trading, offshore tax evasion, and fraud and misconduct in healthcare and the life sciences. In my opinion, the most valuable contribution of this book is the framework for managing risk described in chapter 2. In each of the subsequent chapters, the authors use the framework’s three major components – “Preventative Controls, Detective Controls, and Responsive Controls” – to organize their analysis of each functional area. This is very helpful to the reader who, for example, may possess an understanding of Financial Reporting Fraud (Chapter 7), but who may be clueless about the risks of Fraud and Misconduct in Life Sciences (Chapter 11). Using this framework as a unifying structure throughout the book makes it much easier for the reader to understand how to manage risk throughout a company’s operations. In conclusion, I believe that this book should be required reading for all masters-level business students. Moreover, it is an essential reference for all practitioners who have compliance responsibilities.

For many, the world we live and work in is subject to an ever-increasing amount of regulation, with stiff penalties for non-compliance. Of course, some regulation is necessary and beneficial, yet it can pose great challenges and often significant risks for businesses; ignorance of the law is no excuse. This is a fairly specialist, focussed book that takes a U.S.-centric look at how businesses can adapt and comply to this new regulatory environment, considering the challenges, risks, benefits and underlying issues that may surround them. For those who do not have a U.S. company, there is still a lot to gain from this book; you might be doing business with a U.S. company and bound by many regulations or, in any case, a lot of regulations can exist in your home country and be in a similar form. Increasingly, regulation and enforcement does not operate in the vacuum of domestic boundaries and it can be quite easy to get caught up in another country’s

regulations. It is a thoughtful read, covering a wide range of issues from bribery and corruption through to money laundering, market manipulation, trade sanctions and corporate misconduct. Written in a language that a typical business executive can understand, there is no excuse for not getting a comprehensive, quality briefing on this subject, enabling the company in turn to react and change elements of its behaviour or procedure as required. The price of the book means it is going to be out of reach for the general reader, who otherwise would have had the benefit of an enjoyable, informative read, yet for the business reader who needs this sort of stuff the price is irrelevant and it certainly feels as you will get your money's worth and then some! It cannot forecast everything, but it has a damn good attempt and will leave the reader much better informed and ready to react as a result.

This is a well written and thought out book that serves as an excellent desk reference for compliance specialists and lawyers. In an ever changing landscape of increasingly higher stakes regulatory enforcement, this book provides a reliable road map for critical thinking about the most common tools and statutes employed by regulators. More detailed than would be expected, it provides meaningful insight into risk management and resolution. Highly recommended.

A great resource for compliance executives. Have already referenced several times.

Greatest book ever.

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