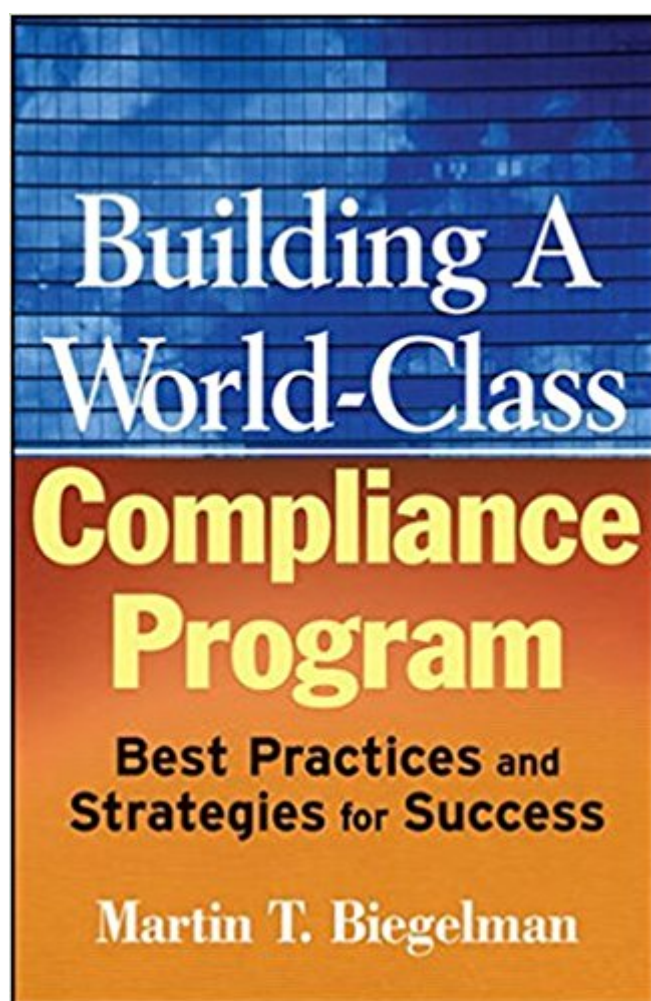


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# Building A World-Class Compliance Program: Best Practices And Strategies For Success



## Synopsis

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.

## Book Information

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## Customer Reviews

"For those who benefited from reading Martin's first book, *Executive Roadmap to Fraud Prevention and Internal Control*, you now have the *Atlas* on ethics and compliance. The compliance insights, poignant case studies, and best practices provide a significant value-added for executives who must set the tone at the top and for those who struggle day-to-day to establish and maintain ethical and compliant behavior within their organizations. A must-read for faculty and particularly students, for whom the lessons so expertly presented here will shape the ethical compass of future careers." —George E. Curtis, J.D. Associate Professor and former Director of Economic Crime Programs, Utica College "Building a World-Class Compliance Program is essential reading for in-house executives of all stripes. Boards, management, legal counsel, HR, and compliance officers all will find this *how to* guide filled with practical advice and tips. For all people interested in how to avoid their company becoming the next Enron, this book is a must-read. It chronicles real-life examples of corporate malfeasance ripped from the headlines and offers sage measures to enhance corporate compliance

programs so as to detect and deter such conduct. Given the expertise of the author— with years of experience in both law enforcement and in-house compliance— this is the preeminent guide to corporate fraud prevention."— Andrew Weissmann, Partner, Jenner & Block and former director, U.S. Department of Justice Enron Task Force

**Building A World-Class Compliance Program** If you want to ensure that your organization is doing everything possible to prevent misconduct and follow laws, rules, and regulations, this book is for you. The devastating accounting scandals and corporate frauds at Enron, WorldCom, Tyco, Adelphia, and numerous other companies reinforced the importance of compliance programs. Effective compliance programs prevent and detect misconduct and protect the interests of shareholders, employees, and the public. Authoritative, comprehensive, and insightful, **Building a World-Class Compliance Program** covers:

- Building the business case for ethics and compliance in an organization
- "Tone at the top" and throughout the organization
- Case studies and best practices of world-class companies and those emerging from compliance failures
- History, growth, and evolution of corporate compliance
- Detailed discussion of the Federal Sentencing Guidelines for Organizations and the Seven Steps to an effective compliance program
- U.S. Department of Justice's McNulty Memorandum and the revised principles of federal prosecution of business organizations
- SEC's Seaboard Criteria in mitigating enforcement actions
- The importance of the Sarbanes-Oxley Act and the Caremark case
- Globalization of business, the risk of corruption, and the expanding reach of the Foreign Corrupt Practices Act
- Anti-money laundering enforcement and the USA PATRIOT Act
- Why every organization needs a "Skunk in the Room"

Written by a long-standing practitioner in the field, this is a timely and critical work put forth in a very readable and impactful fashion. 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. Interviews with thought leaders and experts in compliance along with recommended action steps give a unique, firsthand perspective. Also included are fraud prevention policies and plans to implement. Compliance insights throughout the book detail case studies, strategies for success, sample programs, and survey findings. Embracing and implementing corporate compliance policies and procedures is the only option. True corporate responsibility and accountability require all companies, public or private, large or small, foreign or domestic, to have effective compliance programs. Whether you're a CEO, CFO, compliance officer, manager, auditor, risk management professional, or a student, **Building a World-Class Compliance Program** is your best source for understanding all the complex issues and

requirements associated with corporate compliance.

While the content (I will get to that in a minute) is ok.... the quality of this book sucks! I have never ever seen a book come out of it's binding that fast- ever and I am working on my third degree so I have purchased too many texts to let you purchase this one with out fair warning:\*\*Do not open all the way\*\*\* it will come right off- like they did not even use real glue to pout it on the binding And More Importantly Do Not Stick any kind of three dimensional book marker in it - not even a pencil that will completely pull it off the binding as soon as you shut it- or at least this is EXACTLY what happened to mine.Ok- Content as promised.Theories are explained ok- but not at a masters level and there just isn't enough real world examples to cement them... That is why I gave it a 2 instead of a No star.I want a refund over the construction quality alone

And still nothing terribly valuable. I dont particularly like it when these books have so much filler. Thus far, there is very little substance. The title of the book is Building a World Class Compliance Program. A history lesson doesnt help, nor does repeating the same thing over and over again chapter after chapter as if the people charged with the task of building a compliance program arent capable of getting the point the first, second, third, tenth time around. As far as I'm concerned this book needs to either be renamed, or completely overhauled. I'm hoping that this book, at some point soon, gets to the part that the name of this book suggests it will cover.

In my opinion. the book is very useful for practical applications, especially for a non-legal person. I have used the tools provided within to perform compliance assessments in various areas. The book not only translates the federal sentencing guidelines into simpler usable chunks, but also provides assertions under each element that one can use use to measure respective areas of assessment,

Very pleased with this book. Very comprehensive, well written and applicable. It was everything I had hoped for and more. I don't understand the expensive price tag as I would think it could sell for less even though it is a great book. However, the great information in this book is well worth the price either way. So, I guess I really can't complain about the high initial price tag. I thouroughly enjoyed this book and will keep and use it as a reference for a long time.

Having been involved in compliance issues and internal auditing for quite sometime as an international management consultant, I found this book up-to-date and with very good explanation

and descriptions of compliance issues. Good starter book for all those involved in risk, governance and compliance issues. Building a World-Class Compliance Program: Best Practices and Strategies for Success

Good review.

An interesting read. Very US specific so the reader has to conduct additional research for the Canadian environment.

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