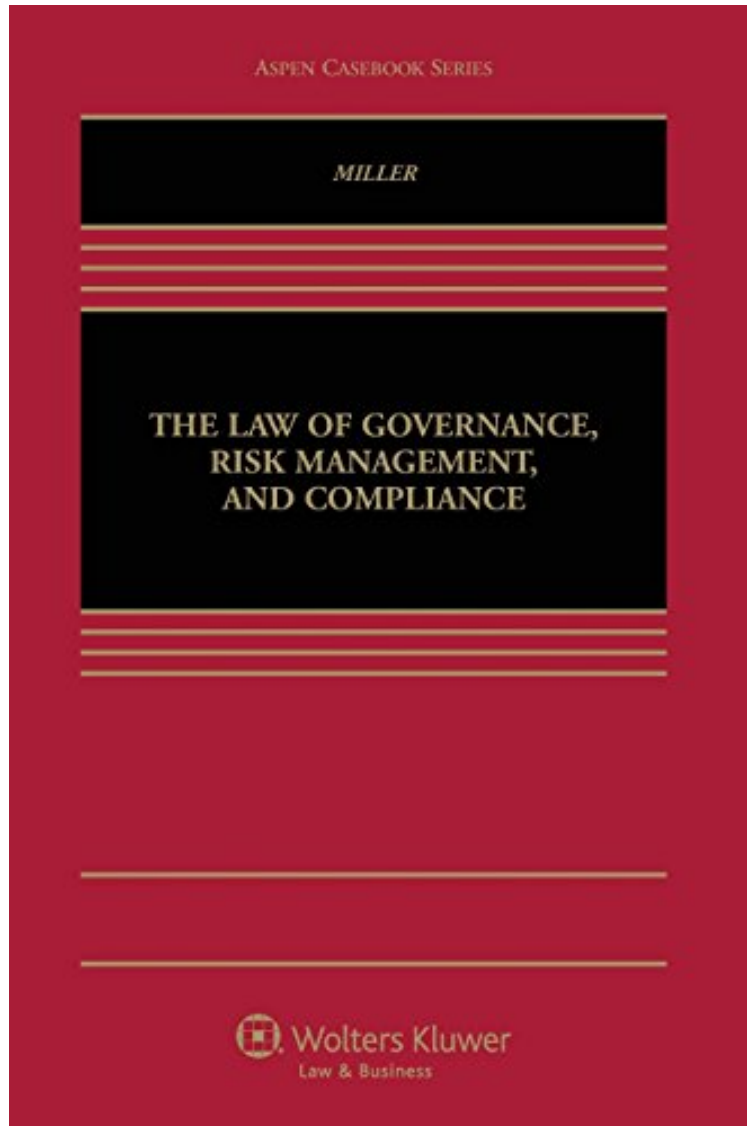


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# The Law of Governance, Risk Management and Compliance (Aspen Casebook)

*Geoffrey P. Miller*

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primary topics - yep you guessed it (Governance, Compliance, Risk Management). Governance (133 pages) Covers interesting governance cases as it relates to Shareholders, Board of Directors, and Executive abuses or lapses. It addresses Pros and Cons of Shareholder power, responsibilities as it relates to corporate governance by both the Board and its executives. Even provides a sort of blue print that would aid any leader in understanding his/her role as it pertains to their respective positions and having an effective Governance body. Compliance (393 pages) This section covers 14 different areas as follows: Introduction to Compliance, Enforcement, Regulators, Prosecutors, Whistleblowers, Gatekeepers, Plaintiffs Attorneys, Information Security, Off-Label Drugs, Foreign Corrupt Practices, AML/BSA/OFAC, Sexual Harassment, (Ethics, Social Responsibility, and Culture), and Compliance Failures. By the time you are done reading these fourteen chapters you will come away with a greater understanding and appreciation for the importance of regulations. Numerous cases that point to the underlying causes of compliance failures due to corporate greed by Executives, Directors, etc., but not solely the cause, which is the primary factor for industries having many regulations. Risk Management (54 pages) Covers just 3 chapters as it relates to Risk Mitigation or Risk Management. Defines three models or approaches to managing risks with the best approach being coordinating risk/compliance functions between business units but keeping them separate to better allocate resources to the most critical. It culminates in the fall of Enron, WorldCom, the financial crisis of 2007 (started by JP Morgan Chase). This book will open your eyes and mind with understanding of the importance of having a strong Governance body that keeps a watchful eye on Compliance and an Executive body that vehemently addresses Risks to a corporation and ways to mitigate them. 0 of 0 people found the following review helpful. The author has tuned the text to perfectly deliver its messages and the book reads wonderfully (not as a text book or legal writing). By YottaBytes We used this as a textbook in a graduate IT program. Yes, the book is written for law school. No, there wasn't a suitable alternative available to our professor. Despite this circumstance, the book provided a wealth of information and insight into Compliance for our purposes. The author has tuned the text to perfectly deliver its messages and the book reads wonderfully (not as a text book or legal writings normally would). - Just read the preface and you will get a true representation of its flow and lacking legaleze. I originally borrowed this book from the library but found the pages too thin and [moderately] transparent to sit down with and casually read. Similar to the fashion of printing used in most legal texts, statute books, etc. In the end I purchased the book in Kindle format and was able to read on my PaperWhite and iPhone6+, and made the world of difference. 0 of 0 people found the following review helpful. but this was a well written book that should be easy to follow even for someone not in the field. By Josef Smith I'm a nerd for these topics, but this was a well written book that should be easy to follow even for someone not in the field. Full of examples and studies to provide real world explanation.

The first casebook on the law of governance, risk management, and compliance. Author Geoffrey P. Miller, a highly respected professor of corporate and financial law, also brings real world experience to the book as a member of the board of directors and audit and risk committees of a significant banking institution. The book addresses issues of fundamental importance for any regulated organization (the \$13 billion settlement between JPMorgan Chase and its regulators is only one of many examples). This book can be a cornerstone for courses on compliance, corporate governance, or on the role of attorneys in managing risk in organizational clients. Features: Addresses issues of enormous and growing importance that are not covered by other law school casebooks. Presents numerous cutting edge issues in a rapidly growing body of law and practice. Covers a subject matter that is a major employment opportunity for law school graduates. Professors who adopt this book participate in a new and burgeoning field of academic study and legal practice. Covers general issues as well as specific fields of compliance and risk management. Includes two sets of case studies--one on cases where compliance programs broke down (e.g., Enron, WorldComm, and JP Global), and one on cases where risk management broke down (e.g., UBS and the financial crisis, and JPMorgan Chase and the London whale). Features fewer cases and a higher ratio of author-written text and materials drawn from regulatory publications than in typical law school casebooks. Authored by a professor who is also an independent director of a financial institution.