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Compliance Manager's Guidebook & Reference Manual

Lee Werrell

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Regulatory Compliance Managers Guidebook & Reference To Help Your Risk Assessment

The Responsibility of *Compliance Managers* Is Growing And It Is Vital They Have Their *Finger On The Pulse*

FULLY UPDATED TO REFLECT CONDUCT RISK REQUIREMENTS

As a UK Financial Services Regulatory Compliance Risk Manager who wants to make sure they have all bases covered before any regulatory visit; or maybe you want to know the secret tips of compliance risk assessments and business or operational risks; or perhaps you are new in the job and want insights into hot-topics, enforcement and regulatory methodologies and best practice.

If so then the *Compliance Manager's Guidebook & Reference* is written for you.

Regulatory Compliance Risk Management is constantly changing and many people need to know;

- What do the latest changes mean?
- What changes have happened to the regulatory Handbooks?
- What impact does this have on the sales process?
- Does the documentation need to be changed?
- Does or sales process need to be amended?

Whenever these questions are asked, everyone turns toward

"compliance" to ask them.

If you are new or an old hand, you need to know what the latest changes are and how to apply the requirements to your firm. If you need any of this and need to develop the role of the compliance officer within the compliance function or the the whole firm then help is at hand. If you are hoping to discover the impacts on compliance and identify areas that cause concern to most compliance professionals, then you're about to discover how to start improving, right now!

In fact, we will deal with a number of aspects of the role of the Compliance Manager concerning the regulators and the regulators current perspective and hotspots, with this Kindle Ebook ***"Compliance Manager Guidebook"*** , the best selling Ebook of it's type, which gives you the answers to 17 important questions and challenges every Compliance Manager faces, including:

- The regulatory terrain; how did it evolve to today's landscape?
- How do you map your firm's activities to the compliance universe?
- Good and bad compliance and forming a compliance charter
- What do you need to perform a Compliance Risk assessment?
- How do you involve senior management and other departments in their compliance responsibilities?
- ... and more!

So, if you're serious about improving your role as the compliance officer and identifying good and bad practice and the impacts on compliance within your firm then you need to grab a copy of ***"Compliance Manager's Guidebook"*** right now, because the leading compliance and business risks consultant, Lee Werrell of Compliance Consultant, who has over 25 years experience in financial services and compliance and is a Chartered Fellow of the CISI as well as a Fellos of the ISMM, will reveal to you how every Compliance Manager can succeed in establishing themselves, and;

- Provide meaningful data,
- Deal with inquiries in a professional manner whilst remaining consistent in the answers,
- Maintain adequate governance throughout the firm,
- Create a single contact point for the regulators,
- Know the Approved Persons regulations,
- Know where to look for the relevant rules or guidance,
- Plan for regulatory visits

If you are a small retail firm, you might be interested in the ***"IFA Risk Management System"*** also on Amazon; just search for **B008OKFFAS**.

Regulatory Compliance and Risk Management is Becoming More and More Vital To Financial Services Firms. Don't Get Caught Out, Prepare Now. Get Your Copy Today!

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