



# Essential Strategies for Financial Services Compliance

*Annie Mills*

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Compliance officers perform a vital, yet unpopular role in the business world as they advise on complying with myriad rules and regulations. What is good for compliance is sometimes seen as being bad for business, making a compliance officer's role a difficult one. *Essential Strategies for Financial Services Compliance* offers practical guidance on how to apply a regulatory requirement to day to day situations. It also shows how to communicate the compliance department's activities to the rest of the firm, how the role fits within the organization as a whole, what the scope and limitation of their responsibilities are, what to do when things go wrong, and how to deal with unusual problems.

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