This course will teach the importance of corporate compliance and how to create and maintain an effective compliance program. Students will discuss issues facing many types of business organizations and how effective governance, culture and compliance programs can impact a corporation’s success – or failure. While the primary focus will be on the financial services industry, the course will blend the fundamentals of compliance with practical aspects that also arise in most other businesses. Those who wish to work, or are working, in compliance or in any regulated industry, such as finance and healthcare, will benefit from this class. Class sessions will be supplemented by guest speakers, compliance “issues of the day,” and current compliance topics of interest including anti-corruption, cybersecurity, data protection, insider trading and conflicts of interest.

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