

Understanding the Legal Needs of Financial Services Companies



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著者:Multiple Authors

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Understanding the Legal Needs of Financial Services Companies is an authoritative, insider's perspective on the strategic thinking behind serving as in-house counsel within the financial services industry. Featuring chief legal officers and general counsel representing a variety of financial services companies across the country, this book provides a broad yet comprehensive overview of the corporate situations that require legal assistance in the financial services industry and the responsibilities of in-house counsel when advising on these issues. Explaining the role played by general counsel as a part of the executive team, these leaders offer advice on overseeing regulatory compliance programs, applying legal knowledge to business development decisions, calculating risk, and securing sensitive financial information. Additionally, the authors share their secrets for staying well-versed on the threats and opportunities facing companies in the industry, including changes to e-discovery, trends in business method patents, and the launches of new products by other financial institutions. The different niches represented and the breadth of perspectives presented enable readers to get inside some of the great legal minds of today, as these experts offer up their thoughts around the keys to navigating the legal issues associated with doing business in the financial services market. Inside the Minds provides readers with proven business intelligence from C-Level executives (Chairman, CEO, CFO, CMO, Partner) from the world's most respected companies nationwide, rather than third-party accounts from unknown authors and analysts. Each chapter is comparable to an essay/thought leadership piece and is a future-oriented look at where an industry, profession or topic is headed and the most important issues for the future. Through an exhaustive selection process, each author was hand-picked by the Inside the Minds editorial board to author a chapter for this book. Chapters Include: 1. Francis C. Poli, Executive VP & General Counsel, Cohen & Steers Inc. - "Managing Legal Risks in the Asset Management Industry" 2. Parris J. Sanz, Esq., Chief Legal Officer, Chief Compliance Officer & EVP, Capital Access Network Inc. - "Challenges Facing In-House Counsel of Financial Services Companies" 3. Andrew E. Lewin, Esq., Chief Legal Officer, Newtek Business Services Inc. - "Implementing Effective Compliance Procedures" 4. Jeanne L. Early, General Counsel, Key Equipment Finance Inc. - "Representing Equipment Finance Companies" Appendices Include: Appendix A: Compliance Memo for an Insurance Company Appendix B: Policies and Procedures Manual for an Insurance Company Appendix C: New Product Form Appendix D: Documentation and Maintenance of Files Appendix E: Investment Management Agreement Appendix F: 2008 Compliance Risk Matrix Appendix G: Sample Tax Schedule Appendix H: Sample Certificate of Acceptance Appendix I: Sample Certificate of Authority Appendix J: Sample Corporate Guaranty Appendix K: Sample Master Lease Agreement Appendix L: Sample Nontax Schedule Appendix M: Sample Nondisclosure Agreement

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