

Table of contents

| | |
|---|--|
| Foreword _____ 7 Lord David Gold | Legal risk management _____ 111 and governance in the financial world Boris Georg Hallik DekaBank |
| Preface _____ 9 Stuart Weinstein Charles Wild University of Hertfordshire | Part II: Governance |
| Part I: Legal risk management | An international overview _____ 125 of board structures Jan M Eickelberg Peter Ries Berlin School of Economics and Law |
| Developing the right formula — 11 for successful legal risk management, governance and compliance Stuart Weinstein Charles Wild University of Hertfordshire | Sarbanes-Oxley requirements — 145 and the implementation of US corporate governance controls – an overview for non-US corporates Zabihollah Rezaee University of Memphis |
| The transformation of _____ 45 general counsel: setting the strategic legal agenda Constance E Bagley Yale University Mark Roellig Massachusetts Mutual Life Insurance Company | Risk management and the _____ 165 board of directors: lessons to be learned from UBS Roger Barker Institute of Directors Stuart Weinstein Charles Wild University of Hertfordshire |
| Using alternative dispute _____ 67 resolution as a tool for containing legal risk Wolf Juergen von Kumberg Northrop Grumman Stuart Weinstein Charles Wild University of Hertfordshire | Understanding the role of _____ 187 the independent director in family-controlled listed enterprises Richard L Narva Narva & Company LLC |

Corporate social responsibility _____ 201

Richard Smerdon
CHH Corporate Governance Handbook

'Tone at the top' and corporate governance _____ 219

Peter Giblin
Cass Business School

Part III: Compliance

Bribery and corruption

The Foreign Corrupt Practices Act: compliance to _____ 229

protect business clients globally

Aaron Schildhaus
Law Offices of Aaron Schildhaus

The rising tide of a new international phenomenon: _____ 247

carbon-copy prosecutions

Andrew S Boutros
United States Attorney's Office
for the Northern District of Illinois
T Markus Funk
Perkins Coie LLP

The Bribery Act 2010 _____ 273

Paul Feldberg
Willkie Farr & Gallagher LLP
Ian Leist QC
Fulcrum Chambers LLP

Health, safety and environment

Issues relating to health, safety and environment practice _____ 295

Jon Cooper
Bond Pearce LLP

Human resources

Human resources issues for managers _____ 315

Marjorie Hurwitz Bremner
Berg Kaprow Lewis LLP
Thushara Polpitiye
Astute HR Ltd

Information systems

Data privacy: data transfers, offshoring and the cloud _____ 351

Hazel Grant
Mark Watts
Bristows

Corporate information risk management _____ 377

Rita Esen
University of Northumbria

International risks

Managing legal risks in China _____ 393

Fang Ma
University of Hertfordshire

Process management controls

Third parties, agents and supply chain due diligence _____ 409

David Curran
Risk Readiness Corporation
Wolf Juergen von Kumberg
Northrop Grumman
Peter Mancusi
Weber Shandwick

Implementing compliance _____ 419
management systems: an
organisational learning process

Lutz-Ulrich Haack

German Graduate School of
Management and Law, Heilbronn

Robert Nothhelfer

Former head of GRC Lidl

International

University of Freiburg, Asperg

Regulated industries –
the financial sector

European debt capital _____ 431
markets regulation in the
context of retail market risks

Ferdinando Bruno

University of Lugano, Switzerland

Fraud within the _____ 453
banking sector

Nikolay Dobrev

University of Liverpool

About the authors _____ 469