

# Compliance from A to Z

von

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## Compliance from A to Z

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## Preface

*Compliance* has become a widely used (misused?) topic within institutions and organizations, although the definition and use of compliance-related terms is far away from being consistent and self-explanatory. But expectations and regulations regarding compliant behavior are increasing; hence a proactive safeguarding of reputation has become a top priority for companies as well as individuals.

Whether you like this trend or not – in fact it has become unavoidable to senior managers, internal and external auditors, lawyers, consultants or members of a supervisory board to gain at least a minimum understanding of compliance-related topics.

Therefore, and based on our experience in the field of investigations, prevention and detection of non-compliant behavior we have talked to a countless number of professionals in organizations and institutions to select the most important and widely used compliance-terms everybody should know when being involved or engaged in the area of compliance.

As this small guide has not the aspiration to discuss and elaborate theoretical questions in detail, we have limited ourselves as well as our co-authors to focus on a quick and comprehensive overview of relevant terms in the field of compliance and to provide you with easy-to-understand explanations and practical examples.

Following our easy-to-use approach all terms and definitions are arranged in alphabetical order – including cross-references to other or additional definitions that might be helpful to you. Most of the terms and definitions apply worldwide; if a term or definition focuses on one country or region, the term is italicized and a footnote refers to the specific country or region.

Many thanks to all colleagues and experts who contributed to this book – sometimes intentionally, sometimes unintentionally. The colleagues who intentionally contributed to this book are listed on the following page referenced to the respective area of law or legislation they provided terms and definitions for.

Munich, July 2013

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