Contents

| Preface | vi |
|---|-----|
| Acknowledgments | vii |
| About the Authors | іх |
| CHAPTER 1 Capital Markets Participants, Products, and Functions | 1 |
| CHAPTER 2 How the Financial Crisis Reshaped the Industry | 23 |
| CHAPTER 3 Governance | 33 |
| CHAPTER 4 Overview: Capital Market: Compliance | 57 |
| CHAPTER 5 Overview: Supervision | 89 |
| CHAPTER 6 Central Role of Finance and Operations | 99 |
| <i>Ian J. Combs, Esq.</i> CHAPTER 7 | |
| Cyber Risk Role in Governance Model and Compliance Framework Alexander Abramov | 129 |
| About the Companion Website | 157 |
| Index | 159 |