

**Series of Learning Materials of Enterprise Compliance Professional Skills  
Examination and Advanced Corporate Compliance Officer Practice Textbook**

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**Series of Learning Materials of Enterprise Compliance Professional Skills  
Examination**

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**Advanced Corporate Compliance Officer Practice Textbook,**

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**A Brief Introduction:**

2022 is the ‘Year of Strengthening Compliance Management’. This year, all enterprises are proactively establishing an effective compliance system. In May 2021, all central enterprises have set up compliance committees to incorporate compliance management into part of the 14<sup>th</sup> Five-Year Plan. Central enterprises have gradually set up chief compliance officers, and corporate compliance management has become an important part of corporate development.

Compliance management has become the cornerstone of competitiveness enhancement, value creation, and the continuous development of enterprises.

Presently, in our country, there is an urgent need for well-trained and competent compliance management talents. There is also a greater demand for compliance management textbooks that include not only basic courses on compliance management but can also guide compliance practice.

The ‘Corporate Compliance Professional Skills Standard Specification’ and ‘Enterprise Compliance Professional Skills Examination Outline’ are hereby formulated and promulgated. According to the ‘Code for Evaluation of Professional Skills for Corporate Compliance Professionals’ and ‘Syllabus for Technical Skills Examination for Corporate Compliance Professionals’, the ‘Guidelines for the Professional Skills Examination of Corporate Compliance Professionals’ was compiled as textbooks for the training of corporate compliance professionals, adult education on and the National Corporate Compliance Officer Examination. This series of books systematically expound legal knowledge, basic knowledge of enterprise management, risk management, internal control management, compliance management, etc., and includes analysis of many cases. The books discuss compliance management in the fields of business cooperation, antitrust compliance, data compliance, commercial bribery, anti-unfair competition, labor employment, and finance and taxation, as well as compliance construction experience of international

organizations and regulatory policies, and guidelines in Europe and America.

This series of books adhere to the principle of providing “guidance for professional activities, help to improve professional skills”, and comprehensively introduces the content of professional activities of corporate compliance practitioners by fully considering the impact of social and economic development and industrial structure changes on corporate compliance, as well as the development status of enterprise compliance technology and requirements for practitioners. This book defines the work field, work content, knowledge level, professional ability, and practical requirements for professional compliance practitioners at all levels.

The purpose of this series of books is to help corporate compliance officers improve their skills and capabilities, by fully considering the needs of the readers of this book. This set of books contains a scientific and systematic introduction to the science of compliance management, with a focus on the practical skills needed for an enterprise compliance officer, as well as many case studies. Skills required for different levels of compliance professionals are introduced separately.

The principles of compiling this series of books:

- (1) Based on professional standards and syllabus: determine the corporate compliance knowledge system according to professional standards, corporate compliance officer professional technical examination outline, and the content of textbooks; help corporate compliance officers identify their professional positioning, and focus on the corresponding ability that professional management personnel should possess;
- (2) Divided into elementary, intermediate, and advanced courses: there are elementary, intermediate, and advanced courses and different levels of courses have a different focus;
- (3) Focus on skill cultivation: This set of books adheres to the principle of providing “guidance for professional activities, help to improve professional skills”, introduces the specific requirements and professional standards of compliance management, and clarifies the objectives, steps, and methods of specific practices.

This set of books not only systematically expounds the basic theories that test takers should master but can also guide the practices of compliance management. They can also serve as learning materials for the training program of relevant authorities and textbooks for majors in business management, human resource management, financial management, law, etc. in colleges.

#### **About the Author: Feng ZHU**

Lawyer Feng ZHU is the director of the management committee and senior partner of Hylands (Shanghai) Law Firm, and the leading partner of the National Capital Market

Professional Committee of the firm. He received a master's degree in civil and commercial law from Shanghai Jiao Tong University, and a doctor's degree from La Verne University. He is a leading talent among the young lawyers of the All-China Lawyers Association.

Attorney ZHU is currently the director of the Financial Instrument Business Research Committee of the Shanghai Lawyers Association and a consulting expert on civil and administrative cases of the Supreme People's Procuratorate. He is an arbitrator of five arbitration institutions including the Shanghai Arbitration Commission, Hainan International Arbitration Court, and Dalian International Arbitration Court, and a mediator of the Shanghai Capital Market People's Mediation Committee, a training base directly under the State-owned Assets Supervision and Administration Commission of the State Council. He is a specially invited lecturer at the Shanghai State-owned Assets Research Institute. He is also a member of the International Bankruptcy Association (INSOL), the Inter-Pacific Bar Association (IPBA), the China Law Society, the Bankruptcy Restructuring Professional Committee of the Shanghai Bankruptcy Administrators Association, the Shanghai Bankruptcy Law Research Association, and the Shanghai Big Data Social Application Research Association. He is a visiting scholar at the Chinese University of Hong Kong and is a researcher at the Compliance Research Center of Shanghai Jiaotong University, the Bankruptcy Law and Corporate Restructuring Research Center of China University of Political Science and Law. He is the editorial board member of the *Frontiers of Bankruptcy Practice*, the complete set of teaching materials for the Enterprise Compliance Professional Skills Examination, and a special writer of the Shanghai Law Society. Attorney ZHU also serves as the rotating president of the Shanghai Jiaotong University Law School Alumni Association.

Attorney ZHU has extensive experience in the capital market, especially in domestic and overseas listings, mergers and acquisitions, financial instruments, and disposal of non-performing assets, and has advised on more than 100 domestic and overseas IPOs/backdoor listings, major asset restructurings/mergers and acquisitions, and listings. He acts as counsel for many listed companies and large enterprise groups.