BUILT IN, NOT BOLT ON:
CREATING A COMPLIANCE PROGRAM FOR A TECH STARTUP

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Once upon a time,
in a heavily regulated industry...
There were opportunities and challenges…
OPPORTUNITIES

1. Flat organization, little to no hierarchical challenges
2. Bad habits haven’t been formed yet
3. Ability to be hands on in many (if not all) areas of the organization
4. Blank slate

CHALLENGES

1. The vision and culture of the organization isn’t defined yet
2. Priorities are often not aligned with building a compliance program
3. There are fires that need to be extinguished
4. Fewer resources mean a broad range of responsibilities
TEAM OF 1

MULTIPLE HATS
And one day, a compliance program was born...
EFFECTIVE COMPLIANCE PROGRAM

- Leadership commitment
- Appropriate responsibility and oversight
- Policies, procedures and controls
- Training and awareness
- Incident management
- Monitoring and auditing
- Consistent enforcement and discipline for violations

BUILDING RELATIONSHIPS
CUSTOMIZATION

business by providing innovative products and mind-blowing customer experience, not by engaging in improper practices.

RISK APPETITE
QUESTIONS?