

**ADVANCED DISCUSSION  
GROUP**

Secrets from In-house Ethics  
& Compliance Buyers: How to  
Keep the Gate and Your Sanity

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**17<sup>TH</sup>  
Annual  
Compliance  
& Ethics  
Institute**

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**THIS SESSION USES POLLING**

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Then under the agenda find this session,  
scroll to the bottom and click “Poll  
Questions”. Or go to [PolLEV.com/scce18](http://PolLEV.com/scce18) to  
answer the active poll.

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**Advanced Discussion Group**

**• Purpose:**

- To bring compliance professionals from around the globe together for a professional exchange of ideas.
- Increase communication among the group participants.
- Learn from each other's knowledge and experience through group discussion.

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**How Long Have You Been in Ethics & Compliance?**

1 year

2 years

5 years

5 - 10 years

Seasoned

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**What is your Role?**

Chief Compliance Officer/Compliance Officer

Compliance Manager

Compliance Auditor

Government

In-house Counsel

Outside Counsel

Analyst

Vendor

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**What are Specific Compliance Risks that Keep You Up at Night?**

Violations of your gift and entertainment policy

3rd Party agent/vendor risks

Inflated commissions

Improper books + records

Rogue employees

None of the Above

All of the Above

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**How Many Outside Attorneys/Analysts/Vendors Do You Engage?**

1  
2  
3-4  
5+

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**How do you manage your vendor relationships to maximize their value proposition and minimize persistent and time consuming demos and sales pitches?**

RFPs, RFIs, RFQs  
Look for an "One-stop Shop"  
Share the Wealth (Distribute Among Several Vendors)  
Engage Former Colleagues (Law Firms, Vendors etc.)  
None of the Above  
All of the Above

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**Solutions for in-house C&E issues often come from the vendor community. How do buyers differentiate between authentic vendors who really care vs. the salesy bluster of reps whose only concern is hitting their quota?**

Set Aside 30-60 Minutes per Month/Quarter for Vendor Demos  
Only Accept PDF Sales Sheets  
Tell Them You Already have a Vendor  
Ignore Vendor emails, Messages + Contact Only with Specific Needs  
Spend All of Your SCCEci Coffee Breaks on the Showroom Floor

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