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.
How Long Have You Been in Ethics & Compliance?

1. 1 year
2. 2 years
3. 5 years
4. 5 – 10 years
5. Seasoned

What is your Role?

1. Chief Compliance Officer/Compliance Officer
2. Compliance Manager
3. Compliance Auditor
4. Government
5. In-house Counsel
6. Outside Counsel
7. Analyst
8. Vendor
What are Specific Compliance Risks that Keep You Up at Night?

1. Violations of your gift and entertainment policy
2. 3rd Party agent/vendor risks
3. Inflated commissions
4. Improper books + records
5. Rogue employees
6. None of the Above
7. All of the Above

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

1. 1
2. 2
3. 3-4
4. 5+
How do you manage your vendor relationships to maximize their value proposition and minimize persistent and time consuming demos and sales pitches?

1. RFPs, RFIs, RFQs
2. Look for an “One-stop Shop”
3. Share the Wealth (Distribute Among Several Vendors)
4. Engage Former Colleagues (Law Firms, Vendors etc.)
5. None of the Above
6. All of the Above

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?

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