

ADVANCED DISCUSSION GROUP

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

Jay Rosen, CCEP
VP Business Development & Monitoring Specialist
Affiliated Monitors, Inc.
jrosen@affiliatedmonitors.com
M: 310-729-6746



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Compliance
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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. 1 year
2. 2 years
3. 5 years
4. 5 - 10 years
5. Seasoned



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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



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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



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

1. 1
2. 2
3. 3-4
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?

- 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**



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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?

- 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 SCCEcel Coffee Breaks on the Showroom Floor**



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