How to WILDLY Be a EFFECTIVE Compliance Officer
Beliefs Become Reality

INPUT
Filter: Beliefs
Filter: Perceptions
Experience
Added to Memories
OUR REALITY
COMPLIANCE SUPERHEROES!

Change the World

Affect People ——— Be Charismatic

"You can have everything you want in life, if you will just help enough other people get what they want."

Zig Ziglar

An American author, salesman and motivational speaker

Finding the Real Motivation

Fear for Self

Competitive Edge

The Four Motivators

Fear for the Business

Noble Cause

01

02

03

04
Putting it together for training

Statement Regarding the Importance of Ethics
  - Story Telling
  - Noble Cause Vision

Statement of the Law
  - Story Telling
  - Fear for Self story

Statement of Intent that the Law and Policies don't Impede Business if Possible
  - Story Telling
  - Competitive Edge

Statement of Policy
  - Story Telling
  - Fear for Business Story

Finding the Right Motivation

Leaning In  Standing Tall  Looking Inspired

Creating a Virtuous (Smiley) Circle
Who are you?

- Bulldog
- Labrabull
- Labrador

Question 1: Is it legal?

Question 2: Is it ethical?

Go to question 3: Is it against our policies?

Compliance officer decision tree

Question 3: Is it a bad idea?

Evaluate and report on risk

If it goes forward

Compliance officer documents risk and puts policies and procedures in place

If it does not go forward

consider whether to document the decision

Business makes decision to go forward or not

If it does not go forward

Compliance officer documents exception

If it does not go forward

Compliance officer writes new policy

Stop here, if business wants to move forward anyway, go to the Board, ask legal counsel to comment, and/or do everything you can to intervene.
We are here to CHANGE THE WORLD
Thank you!
Let’s Stay In Touch!

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How to Be a Wildly Effective Compliance Officer, available at http://amzn.to/1VP64pZ