ADVANCED DISCUSSION GROUP

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

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17TH Annual Compliance & Ethics Institute
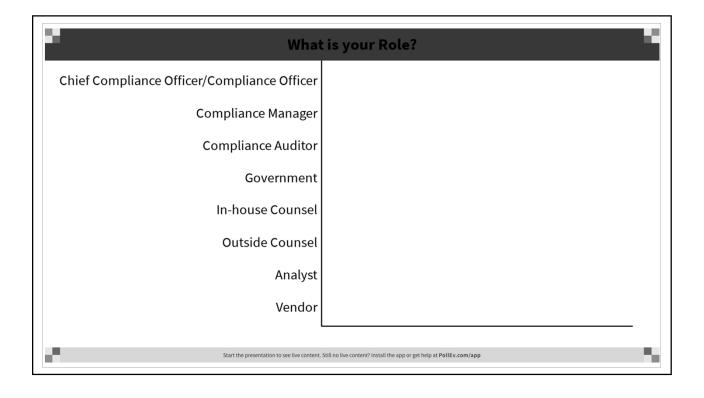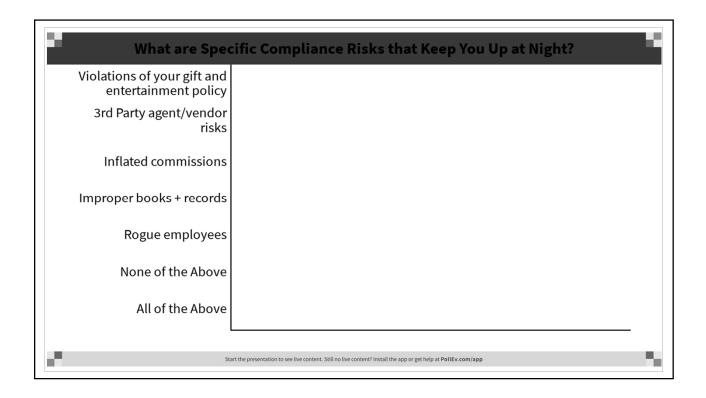
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THIS SESSION USES POLLING
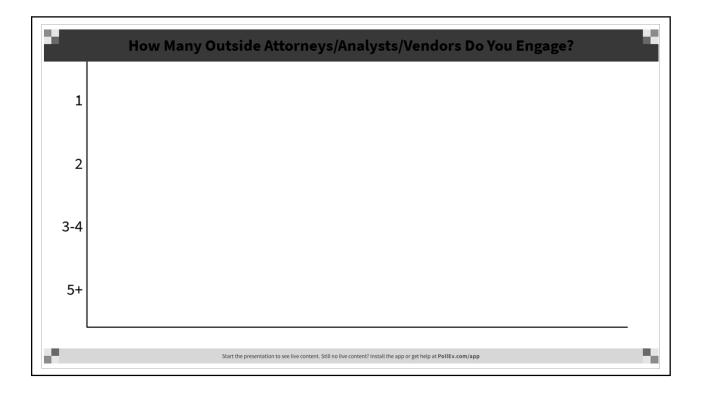
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Advanced Discussion Group

- 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.

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

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

3

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

1

2

3-4

5+

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

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 SCCEcei Coffee Breaks on the Showroom Floor