



The Compliance Officer's Guide to
Keeping Calm and Carrying On:
*Strategies and Tools for Thriving in a
Stressful Profession*

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Agenda

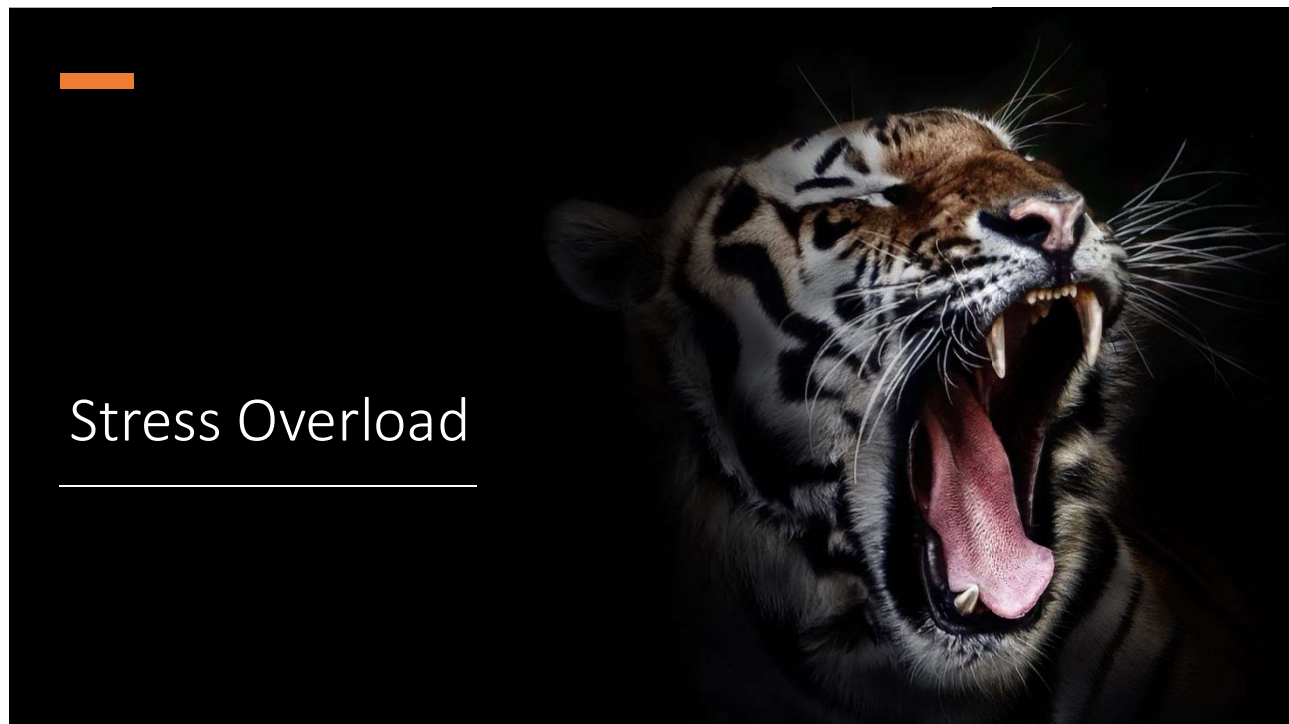
- Stress and the compliance officer
- Key elements to achieving well-being
 - Mindset
 - Mindfulness
 - Gratitude
- Putting it into practice

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How Much Stress Do You Have In Your Life?

- None. Just here for the CEUs.
- Some. The typical challenges that come with work and life.
- More than I'd like. I'm looking for some suggestions.
- A lot. It's time to make some major changes.
- My life is a dumpster fire.

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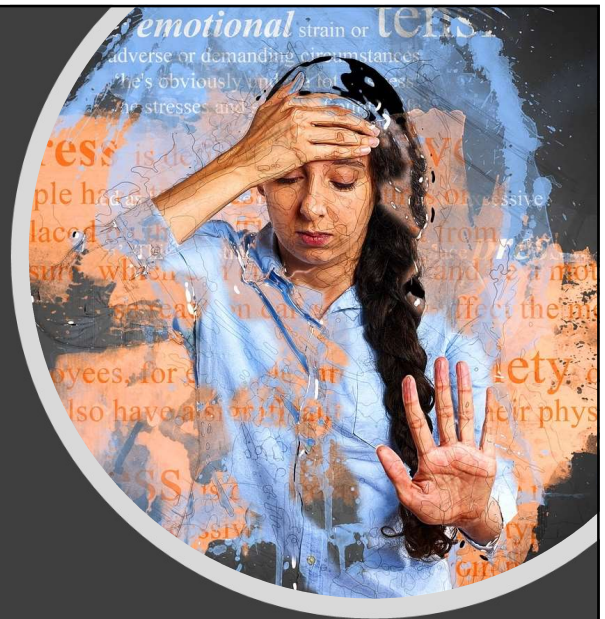
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What Do You Find To Be the Most Stressful Aspect of Your Job?

- Too much work and responsibility, not enough time.
- Office politics (aka, I hate my boss)
- Every day I live in fear of a compliance failure for which I will be blamed.
- I feel like I'm not making a difference at the company.
- Other

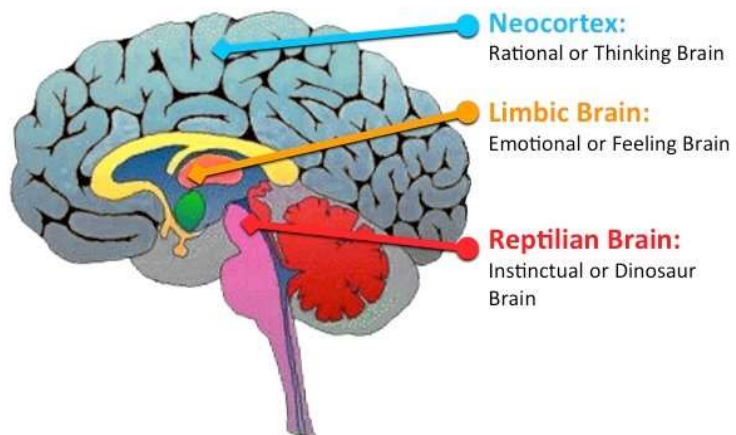
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When Those Risks
Aren't Mitigated....



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Your
Amazing
Brain





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FIXED MINDSET VS. GROWTH MINDSET
Based on the work of Dr. Carol Dweck

<p>I believe that my [Intelligence, Personality, Character] is inherent and static. Locked-down or fixed. My potential is determined at birth. It doesn't change.</p>	<p>I believe that my [Intelligence, Personality, Character] can be continuously developed. My true potential is unknown and unknowable.</p>
<p>Fixed Mindset</p> 	 <p>Growth Mindset</p>

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Why Mindset Matters

You cannot reach peak performance with a fixed mindset.



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DO

- Embrace challenges
- Praise people for hard work and effort
- Support efforts to improve
- Take setbacks in stride



DON'T

- Treat challenges and setbacks as negative events
- Praise intelligence over hard work
- Avoid giving people opportunities to grow
- Tell people that something "just isn't their strength"

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Fostering a Growth Mindset at Your Company

- Tell stories of change
- Introduce quotes into training and communications materials
- Frame setbacks in compliance as learning opportunities
- Praise the desire to learn and improve



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Mindfulness as a SuperPower



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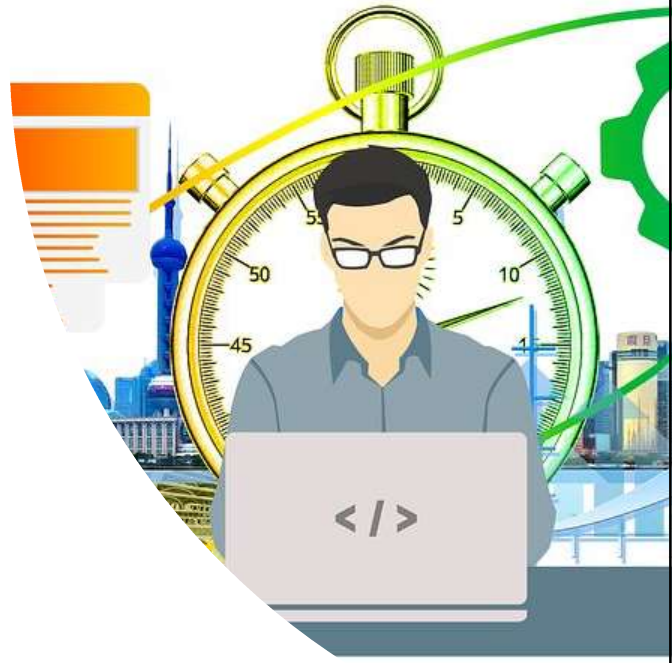
How Mindful Are You?

- The Dalai Lama calls ME for advice.
- I'm pretty busy but I try to focus on just one thing at a time, if that counts as mindfulness.
- I like the idea of mindfulness, but I haven't really found a way to incorporate it into my real-live life.
- I schedule mindful activities on a daily basis.
- Will you stop asking all these questions? I'm trying to multitask!

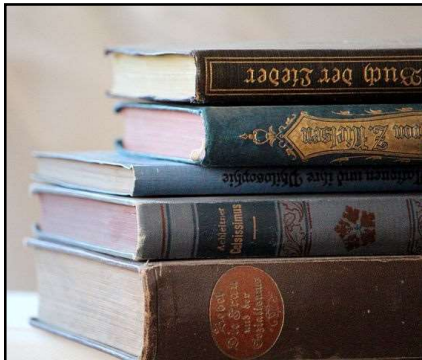
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WHY BE MINDFUL AT WORK?

- Your own well-being
- Improved productivity and work performance
- Fosters a more ethical environment



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Making Time for Mindfulness at Work

- Schedule it
- Examples
 - 10 deep breaths at your desk
 - 2-5 minute meditation prior to meetings
 - Daily rituals

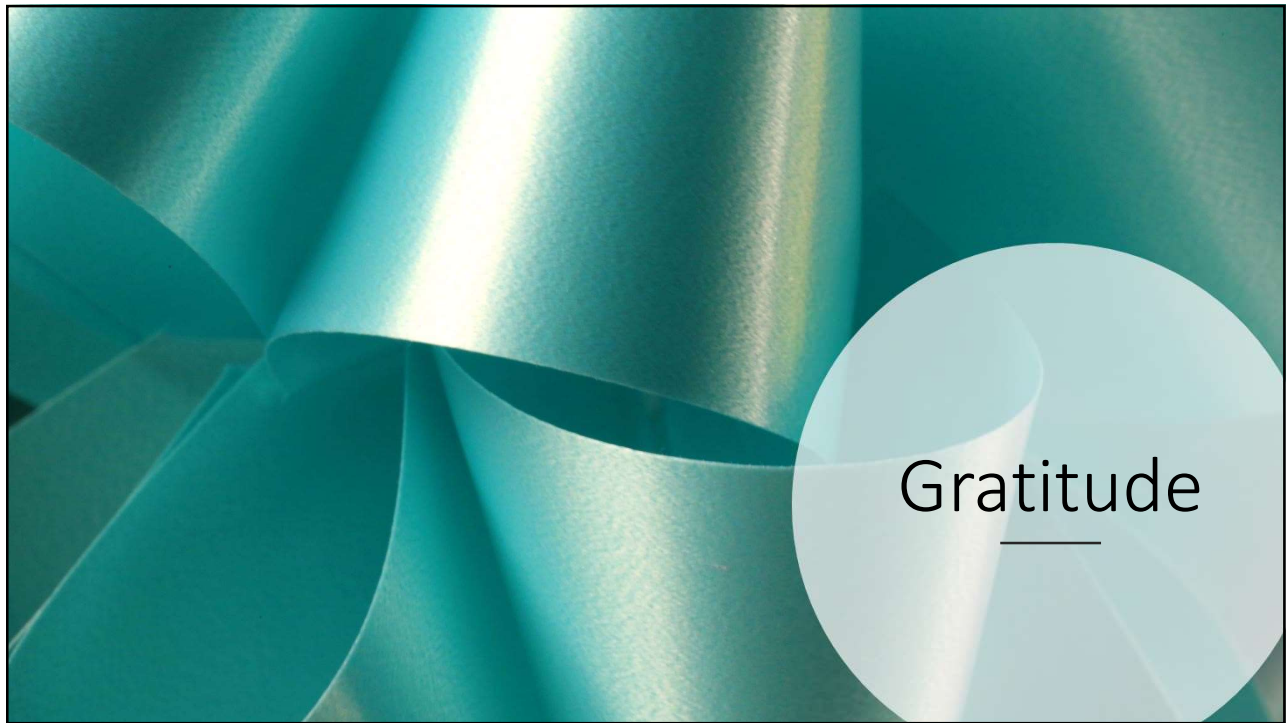
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Being Mindful as a Team

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- Connect as a team to have positive interactions- even if you can't connect in person
 - Mindful Meetings
 - Create space

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How Much
Gratitude is in
Your Life?

1. Every day is Thanksgiving for me.
2. I keep a gratitude journal.
3. I think I'm pretty grateful, but I don't track it or anything.
4. I haven't really given much thought to gratitude.
5. I'll be grateful when you stop asking me all these questions.

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Why Be Grateful at Work

- ❖ Strong link between practicing gratitude and health
- ❖ Fosters new/stronger relationships
- ❖ Enhances ethical conduct



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Easy Implementation

- ☐ Keep a gratitude journal
- ☐ When someone asks you how you are...
 -Instead of saying "busy" - say something you are grateful for**



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The Power of Saying Thank You



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And
remember.....



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