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“For those in search of the ‘secret sauce’ to being an effective compliance professional ...look no further. Roy so eloquently (and practically) captures many of the key ingredients in his book and does so with lessons learned, wisdom, humor and humility.”

*Jenny O'Brien*



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“Go right to Chapter 8. If you don’t agree with this chapter, then don’t read this book. In fact, don’t go into compliance at all. Do something else completely. But if Chapter 8 hits you, then read this book and become a compliance and ethics professional.”

*Joe Murphy, Senior Analyst, Compliance Strategists*

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## 15 TIPS FOR HONEST CONVERSATIONS

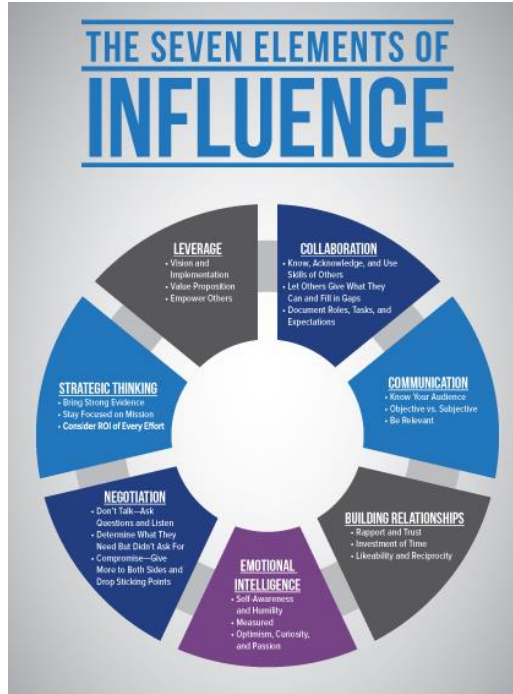
1. Talk about important truths with the same disposition as ordering a cheeseburger.
2. Often smile as you speak and remain delightful when others don't.
3. Ask questions after sharing something significant.
4. Don't criticize others' truth or try to jam yours down their throat.
5. Get to the point quickly and don't feel a need to talk all the time.
6. Don't interrupt.
7. Read people well and know how far to push an issue.
8. Study how people in the discussion are doing.
9. Disagree in an agreeable way and ask questions to help others see what they are missing.
10. Listen, see what others are not seeing, and share.
11. Nod while talking, not necessarily in agreement, but instead to encourage others to talk.
12. Love the process of sharing truths with others more than you want to change them.
13. Don't argue; have a conversation.
14. Look for the proper time to jump in and let others share their truths first.
15. Use humor, typically self-deprecating humor, to let everyone know everything is okay after a tough conversation.

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## 10 PRINCIPLES OF BEING A COMPLIANCE PROFESSIONAL

- 1 Implement all elements of a compliance program.
- 2 Respond to concerns and complaints related to ethical and legal violations.
- 3 Never compromise when faced with resistance to fixing a serious problem, and don't overreact to small problems.
- 4 Remain unbiased, un-conflicted, and neutral during problem investigation and resolution.
- 5 Have independence, authority, and responsibility for finding and fixing legal and ethical issues.
- 6 Report resistance to resolving significant issues and impediments to implementing a compliance program.
- 7 Ensure compliance problems are fixed, rather than just advise they be fixed.
- 8 Delegate to other departments elements of a compliance program without giving up authority to ensure compliance-related tasks are completed.
- 9 Facilitate support for the compliance program from leadership, and communicate that support to employees.
- 10 Collaborate with leadership to resolve problems in as positive a manner as possible.

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**ROY-ISM**

The compliance department is not the department of "no," it's the department of "know."

**ROY-ISM**

Money, power, and influence are no match for a high emotional IQ and the facts.

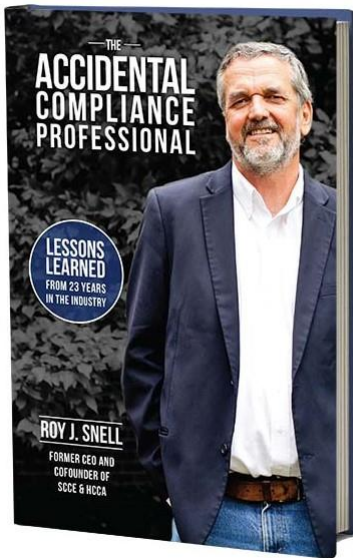
**ROY'S RULE**

Be understanding of people who make mistakes and don't write them off forever. Keep watching them, because some people take their mistakes and use them to improve themselves.

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Come to Roy's Book Signing!

Sunday, September 15  
4:45-6:30 p.m.

Roy will be signing books during  
the Opening Reception  
@ the SCCE booth  
in the Exhibit Hall

See you tonight!

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