COMPLIANCE VS. APATHY:

Addressing challenges with a culture of compliance

Solving for the numerous – and substantial – challenges of the compliance ecosystem requires the ultimate trifecta:







PEOPLE

CULTURE

TECHNOLOGY

Understanding the **difference between active compliance and apathetic compliance** is the first step to improving your firm's overall standing, creating a unique culture that strategically benefits the firm for the next ten, twenty, even hundred years.

COMPLIANCE

APATHY

Supported by firm leaders





Apathetic or hostile leadership

Policies and procedures customized to fit your needs





Boilerplate policies and procedures

Staff cooperation and cohesion

Common vision





only looking out for themselves

inconsistent vision

Unstated or

Employees / staff

and check-ins

Regular staff trainings





No time or resources allocated for training

WHY IT MATTERS

Compliance isn't a one-person play. It's a group sport, that requires synergy between every department and employee. **And compliance done right, requires consistent effort.**

Something that is especially important given the heightened risk and

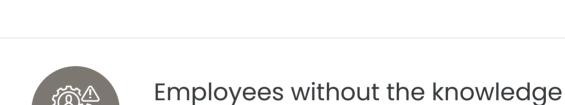
regulations being faced in today's business and financial landscape.



you can expect:

Strong core values aligned

Once you have developed and begun



sanctions.

Without a culture of compliance,



Individual accountability and

with your firm's Code of Ethics.



your firm faces:

Increased probability of facing SEC

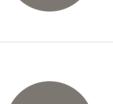
or awareness to mitigate risk.



Support for bigger picture

compliance projects.

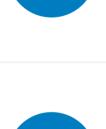
group responsibility.



Reputational damage should

employees knowingly or otherwise

break SEC, FINRA or FCA ruling.



Streamlined compliance

workflows, with employees

own compliance function.

actively contributing in their



Loss of customers and credibility within the marketplace.



Firm-wide compliance cohesion.



incoming investments or revenue.

Monetary damages and loss of

cultivating a culture of compliance.

CREATING A CULTURE OF COMPLIANCE

According to our proprietary data, compliance professionals felt these were their most arduous challenges in





27%



21%





8%

How do you know your firm could use the support of outsourced managed services? With outsourced managed services, firms can:

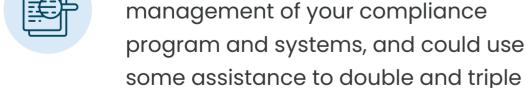
COMPLEMENTING YOUR COMPLIANCE

TEAM WITH A TRUSTED PARTNER

Administrative tasks consume the majority ofyour team's time, leaving

Reduce time spent on manual, administrative work and focus instead

With dozens of rules and regulations proposed by the SEC in the past 12 months, it would be reasonable for



some assistance to double and triple check compliance tasks.

You haven't optimized your compliance technology in order to

leverage every ounce of potential

little to no time for strategic priorities.

You are overburdened with the

ROI on your investment in automation.

Leverage unique insight from a

trusted partner with decades of

on strategic priorities.



always COMPLY.

regulatory knowledge to ensure you

Fully optimize compliance technology

across the firm, getting the highest

from your investment.



Learn more about ComplySci's Managed Services

and how we can help you COMPLY.









above information is not a comprehensive list of all relevant guidelines and should not be relied upon. You should always consult your relevant regulatory authorities or legal counsel if applicable.