How to have a WILDLY SUCCESSFUL CAREER in Compliance

HIRING COMMITTEE

JUNIOR COMPLIANCE OFFICERS ROLE

Candidate: A
Schooling: Excellent
Prior Experience:
2 years in Compliance

Candidate: B
Schooling: Excellent
Prior Experience:
2 years in Compliance

SENIOR COMPLIANCE OFFICERS ROLE

Candidate: AA
Schooling: Excellent
Prior Experience:
6 years in Compliance
3 years in Legal

Candidate: BB
Schooling: Excellent
Prior Experience:
6 years in Compliance
3 years in Legal
Kristy Grant-Hart

“An accomplished compliance professional and true expert in her field.” – Risk Universe Magazine

- Author
- Speaker
- Former Chief Compliance Officer

World-Class Program Assessments

ISO 37001 Anti-Bribery Management Systems Certification

WHAT WE’RE GONNA DO TODAY

- Raise the Roof on Your Profile
- Choose Your Pathway
- Meetings and Mentors that Matter
RAISING THE ROOF ON YOUR PROFILE

SPEAKING

WHAT’S STOPPING YOU?

Latest enforcement action
New or proposed laws
Trends that you see in the profession
Best practices you’ve observed
Case studies of your own experience
Soft skills like networking, goal setting, influence, or time management

I Don’t Know What To Speak About.

Who?  
Solo  
Two or Three  
Panel

Plus  
You control it  
Share the love (and time)  
Easy prep

Minus  
Lonely at the top  
Timing Issues  
Can’t get a word in edgewise

I Don’t Know How I Should Present
WHAT’S STOPPING YOU?

I don’t know what to write about.
I don’t know how to write an article.
What if people hate it or disagree with me?
I don’t know where to publish.

RAISING THE ROOF ON YOUR PROFILE: PRESS COVERAGE AND PODCASTS

GETTING IN THE PRESS

- Follow, comment, meet and greet
- Letters to the Editor
- Podcasting presence
OUT FOR GLORY

★ And the award goes to... the person that put in an application!
★ Teaching

GETTING TO YES

★ Cutting Edge Compliance
★ Best in Class for Compliance
★ Google results
★ Giving copy approval for presentations or articles
THE EIGHT PATHS

FINANCIAL SERVICES COMPLIANCE

<table>
<thead>
<tr>
<th>What do you love about it?</th>
<th>What do you hate about it?</th>
<th>What advice would you give?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thrill of supporting customer experience</td>
<td>Potential personal liability</td>
<td>Work in the industry before getting into compliance</td>
</tr>
<tr>
<td>High-level oversight</td>
<td>Regulatory Bureaucracy</td>
<td>Be passionate</td>
</tr>
<tr>
<td>Quickly changing regulations mean continually interesting</td>
<td>Being the bad guy</td>
<td>Learn every regulation you can</td>
</tr>
</tbody>
</table>
### HEALTHCARE COMPLIANCE

<table>
<thead>
<tr>
<th>What do you love about it?</th>
<th>What do you hate about it?</th>
<th>What advice would you give?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work benefits the patients</td>
<td>Dealing with physicians</td>
<td>Get a background in the healthcare field before going into compliance</td>
</tr>
<tr>
<td>Always learning</td>
<td>Regulatory oversight and inspections</td>
<td>Join the Healthcare Compliance Association (HCCA)</td>
</tr>
<tr>
<td>No two days are the same</td>
<td>Being brought in too late to bring value</td>
<td>Learn the AdvaMed and PhRMA Codes</td>
</tr>
</tbody>
</table>

### CORPORATE COMPLIANCE

<table>
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<th>What advice would you give?</th>
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<tbody>
<tr>
<td>Not being heavily regulated</td>
<td>Not being heavily regulated</td>
<td>Master hard and soft skills</td>
</tr>
<tr>
<td>More focus on ethics and doing the right thing</td>
<td>Focus squarely on revenue and share price</td>
<td>Pick a field you’re passionate about</td>
</tr>
<tr>
<td>Interacting with the whole business</td>
<td>Not enough resources</td>
<td>Attend conference for networking</td>
</tr>
</tbody>
</table>
THE ROAD LESS TAKEN... 5 MORE PATHS

- In-house counsel or business leader
- Compliance Consulting / Private Practice
- Government
- Non-Governmental Organizations / Non-Profit
- Vendors

MEETINGS AND MENTORS THAT MATTER
MEETINGS THAT MATTER - NETWORKING AT CONFERENCE AND IN YOUR COMPANY

- Connect with Connectors
- Plan your hit list
- Stalking for Success
- Follow up, follow up, follow up

THE COMMANDMENTS: HIGH-LEVEL MENTORS

Commandment 1: Thou shalt do thy homework
Commandment 2: Thou shalt have a specific request
Commandment 3: Thou shall speak thy follow-up plan out loud at the end of the conversation
Commandment 4: Thou shalt say thank you!
### Strategies for Obtaining Resources

- Be Explicit and Specific
- Practice
- Use Stories
- Use Fear, But...

### Strategies for Obtaining Resources

- Use Visuals
- Use a “Choice of Yes” Pattern
JUNIOR COMPLIANCE OFFICER ROLE

Candidate: A
Schooling: Excellent
Prior Experience: 2 years in Compliance
Also:
Wrote an article on creating a great Code of Conduct, our priority for the year
Spoke on drafting policies effectively at the Frankfurt conference last year
Referred by Michael Valkon
Worked with Shiela Kopanick on a non-profit board

Candidate: B
Schooling: Excellent
Prior Experience: 2 years in Compliance

SENIOR COMPLIANCE OFFICER ROLE

Candidate: AA
Schooling: Excellent
Prior Experience: 6 years in Compliance 3 years in Legal
Also:
Was on a podcast discussing the new trade sanctions law
Quoted in the WSJ on ethical leadership
Experience with new technology vendors
Won the Women in Compliance Award for Chief Compliance Officer of the Year

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Was on a podcast discussing the new trade sanctions law
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PUTTING IT TOGETHER

- Raise your hand for profile raising
- Commit to your next step on the path
- Get sociable
- Make mentoring matter for you
- Put the work in network

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

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THANK YOU
LET’S STAY IN TOUCH