“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
“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
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’ truths or try to jam yours down their throats.
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. Not while talking, not unnecessarily 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.

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 compromise to avoid problems.
4. Remain unbiased, unconflicted, 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 avoided.
8. Delegate to other departments elements of a compliance program without falling prey to 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 a positive manner as possible.
The Seven Elements of Influence:

1. **Leverage**
   - Leverage Power
   - Leverage Influence
   - Leverage Authority

2. **Collaboration**
   - Leverage Relationships
   - Leverage Resources
   - Leverage Knowledge

3. **Strategic Thinking**
   - Leverage Vision
   - Leverage Strategy
   - Leverage Innovation

4. **Communication**
   - Leverage Message
   - Leverage Story
   - Leverage Delivery

5. **Negotiation**
   - Leverage Position
   - Leverage Persuasion
   - Leverage Influence

6. **Building Relationships**
   - Leverage Networking
   - Leverage Connections
   - Leverage Partnerships

7. **Emotional Intelligence**
   - Leverage Empathy
   - Leverage Support
   - Leverage Influence

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**ROY-ISM**

The compliance department is not the department of “no,” it’s the department of “know.”

**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.

**ROY-ISM**

Money, power, and influence are no match for a high emotional IQ and the facts.
Purchase your copy of the book at the registration desk today!

Then . . . get your book signed! Roy will be available for signings during the breaks.