

## Responding with Poll Everywhere



*Web voting*

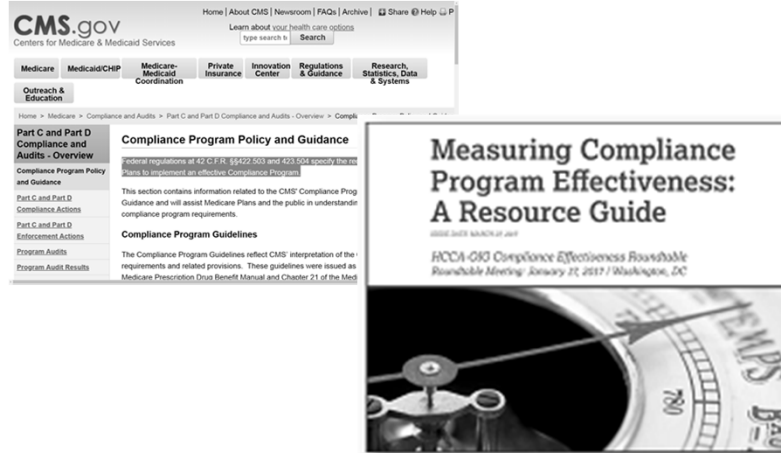


*Text voting*



From Board Reports to Staff Education:  
Effective Compliance Communication

“Effectiveness” seems to be everywhere...



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What does it mean to be effective?

**ef·fec·tive**

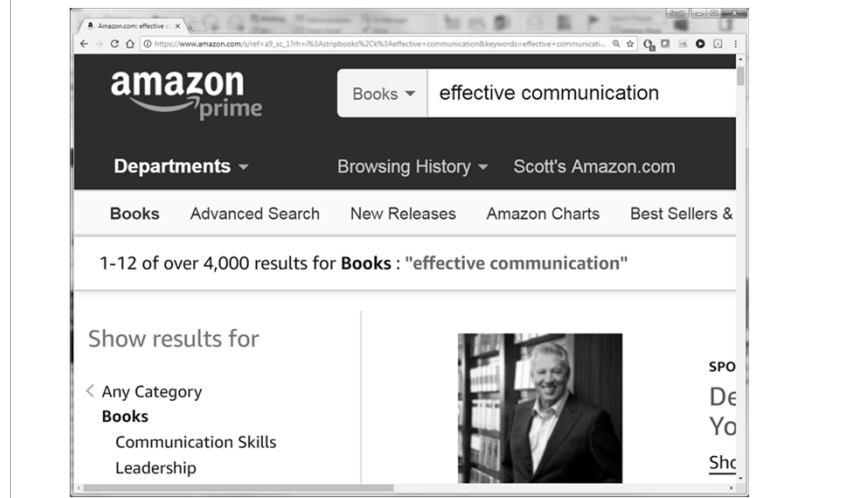
Definition: successful in producing a desired or intended result.

synonyms: successful, effectual, potent, powerful;

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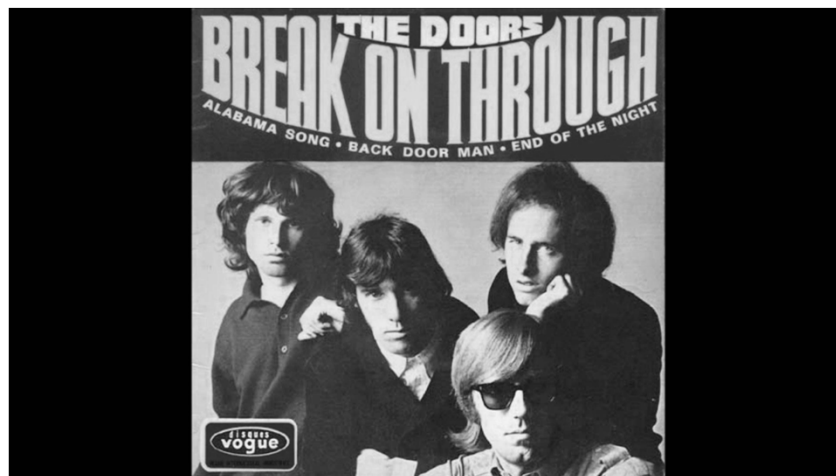
## Not just in Compliance



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## So the Question is.. How Do We?



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What types of Compliance Communication can you think of?

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## The Many Ways Humans Communicate

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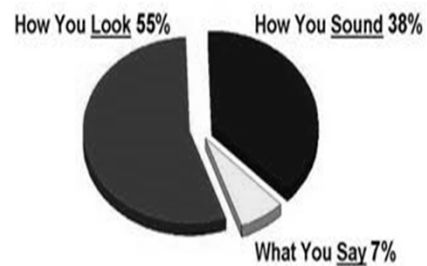
- Written Communication
- Verbal Communication
- Non-Verbal Communication

***'It is not what you say, but how you say it'***

***'Actions speak louder than words.'***

## The 7-38-55 Rule – Myth or Legend...

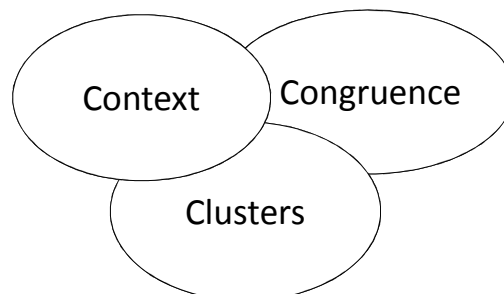
Experts on communication teach us that the three main ways human communicate are: words, voice tone and body language



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## Bringing it All Together – Three C's



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## More than talking...



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## The 4<sup>th</sup> “C” - Consistency



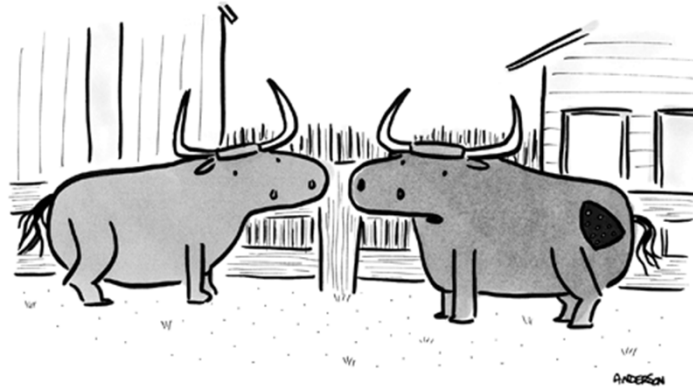
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## Branding your Compliance Program

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WWW.ANDERTOONS.COM



"Branding iron's in the shop."

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## Iconic...



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## Logos are only symbols



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## What is a brand – Wikipedia Version

A brand is a name, term, design, symbol, or other feature that distinguishes an organization or product ... in the eyes of the customer.

- *Wikipedia*

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## What makes a Brand effective?

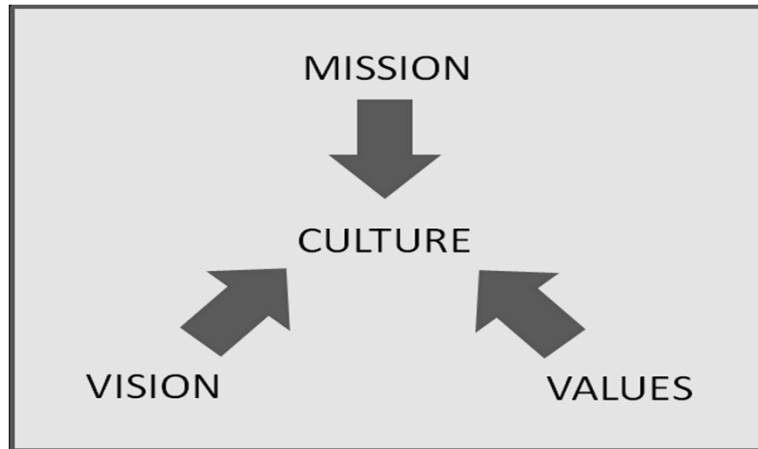
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## What is a Brand... Really?

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- A brand is a promise.
- A symbol of consistency.
- A signal for what to expect.

## Brand = Culture



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## Can You Fake It?



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## Someone is Always Watching...



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## Challenge of Multiple Brands

- Corporate Brand
- Compliance Program Brand
- Personal Brand

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## Up, Down & Sideways – Shaping the Message for Your Audience



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**As a Compliance Professional, who is your audience?**

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## Always Keep the Audience in Mind



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## Communicating Up



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## The Board

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- Set the Perspective
- Context & Landscape
- What is the Risk
- Charts & Summaries
- Death by Detail
- Blizzard of Acronyms & Jargon

## Your Boss/Senior Management

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## Communicating Sideways

Engagement.....



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## Enable and Support Your Colleagues

Create strong ties with other departments  
and peers to build a sense of community



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## Communicating to Staff

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### Traditional ways we communicate as Compliance Professionals

- Training
- Posters
- Compliance Week
- Reminders
- Road Shows & Town Halls

## Critical Compliance Skills

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- Consistent messaging
- Walking the Walk
- Accessibility and Availability
- Building Trust and Confidence



## Communicating Out

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- Attorneys
- Consultants/Vendors
- Auditors/Regulators
- Competitors and Collaborators

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## Q & C Words

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Questions

Queries

Quibbles

Comments

Concerns

34

