

# How to **WILDLY** have a **SUCCESSFUL** CAREER in Compliance



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## 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



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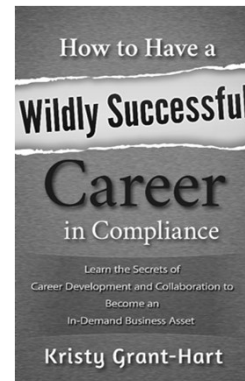


# Kristy Grant-Hart

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

- Author
- Speaker
- Former Chief Compliance Officer
- Consultant
- Professor

World-Class Program Assessments  
ISO 37001 Anti-Bribery  
Management Systems Certification



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## WHAT WE’RE GONNA DO TODAY



Raise the Roof on Your Profile



Choose Your Pathway



Meetings and Mentors that Matter



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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.

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RAISING THE ROOF ON YOUR PROFILE: SPEAKING

WHAT'S STOPPING YOU?

I Don't Know How I Should Present

Who?	Plus	Minus
Solo	You control it	Lonely at the top
Two or Three	Share the love (and time)	Timing Issues
Panel	Easy prep	Can't get a word in edgewise

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## RAISING THE ROOF ON YOUR PROFILE

### WRITING

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



WHAT'S STOPPING YOU?



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## 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



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## OUT FOR GLORY



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

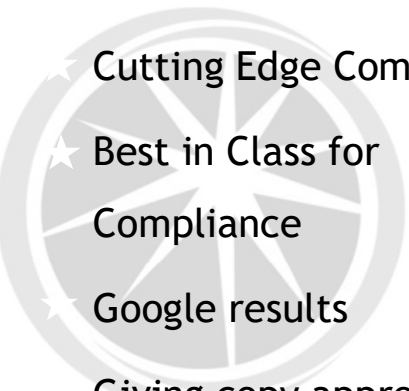
★ Teaching



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## GETTING TO YES



★ Cutting Edge Compliance

★ Best in Class for  
Compliance

★ Google results

Giving copy approval for  
presentations or articles



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## THE EIGHT PATHS



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## FINANCIAL SERVICES COMPLIANCE



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



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## HEALTHCARE COMPLIANCE

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



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## CORPORATE COMPLIANCE

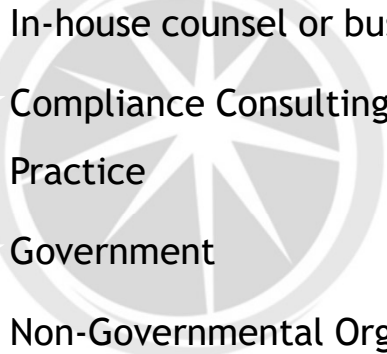
What do you love about it?	What do you hate about it?	What advice would you give?
Not being heavily regulated	Not being heavily regulated	Master hard and soft skills
More focus on ethics and doing the right thing	Focus squarely on revenue and share price	Pick a field you're passionate about
Interacting with the whole business	Not enough resources	Attend conference for networking



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## THE ROAD LESS TAKEN... 5 MORE PATHS



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



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## MEETINGS AND MENTORS THAT MATTER

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## 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



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## 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!



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## Strategies for Obtaining Resources

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



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## Strategies for Obtaining Resources

- Use Visuals
- Use a “Choice of Yes” Pattern



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## 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



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## SENIOR COMPLIANCE OFFICER 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

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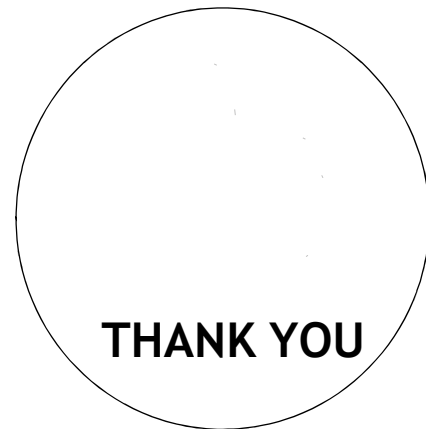
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How to Be a Wildly Effective  
Compliance Officer,  
available at  
<http://amzn.to/1VP64pZ>



**LET'S STAY IN TOUCH**



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