



**CORE COMPLIANCE &  
LEGAL SERVICES, INC.**

# COMPLIANCE PROGRAM RISK ANALYSIS

*COVID-19 has changed life as we know it. Sheltered-in policies have forced firms to establish remote protocols to service clients, communicate with personnel via video conference and trust associated personas to execute their duties without “hands-on” supervision. But are you fulfilling your regulatory obligations?*

*Let Core Compliance<sup>SM</sup> assess your compliance program and develop an action plan based on your existing resources and needs.*

## SERVICES

Review current protocols in response to COVID-19, including Business Continuity Plans (BCP), cybersecurity controls, remote supervision structure, client correspondence, maintenance of books and records, customer/vendor communication, and much more

Review exception reports, internal controls, electronic record retention efforts and documentation of COVID-19 response plan

Prepare Compliance Program risk analysis report of findings and recommendations

Present findings to CCO and Senior Management Team

## WHAT YOU CAN EXPECT

Meet with CCO to discuss new protocols implemented; author and deliver initial document request list

Assess strength of compliance program and results thereof; identify high/medium/low risk areas; conduct interviews with key staff as necessary to assess internal controls

Prepare a written Compliance Program Risk Analysis report outlining findings and recommendations on how to address risks

Through Zoom meeting, provide assessment to Senior Management and address implementation of action plan

## Benefits of working with Core Compliance:

Evaluation of risks are essential to any compliance program. Risk analyses help to identify internal controls, including policies and procedures, that need to pivot as life and circumstances change.

Be proactive and let Core Compliance provide your Compliance Program risk analysis. We can identify potential gaps to ensure required compliance controls are in place.

Our goal is to mitigate compliance program risk through a practical action plan implementing sound solutions.

