



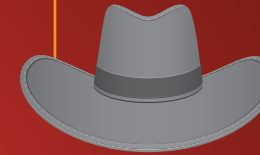
### Education & Training

Create and implement required and/or ongoing training needed ensure rules & regulations are followed.



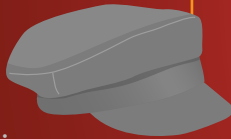
### Risk Management

Perform threat analysis, estimate probability of occurrence, potential impact, and safeguards in place to measure risk.



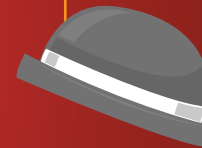
### Audit & Testing

Coordinating regular internal/external reviews, testing, and exception tracking.



### Reporting

Responsible for reporting on the management and "compliance" within the environment independently and objectively.



### Policies & Procedures

Creating and maintaining required policies and procedures to ensure proper operation of program.

# The Many HATS of a Compliance Officer

*Do you have the right "hats" for your compliance program?*



### Program Development & Management

Ensuring a proactive program management, policies, processes, and controls are in place for governance.



### Knowledge Share

Interpreting regulatory compliance requirements, best practices, and law specific to industry and regulatory body.