

4 Giant Steps to Leadership as a Compliance Officer



Transforming people to producers and
producers to
producers of producers

Presented by
Edward E. Robinson Jr., CPA, CSP



Survey Says

- **Red/Blue**
- **Rose**
- **Chair**
- **Lion**
- **Mc Donald's**



Who Am I?

I can't Tell anyone what to , how to or who to Educate!

I don't write or make our Vision, Rules or Values!

But let something go wrong or let someone break a principle, who catches the Heat ?

It's me I'm the Preacher, the Cop and the Salesman

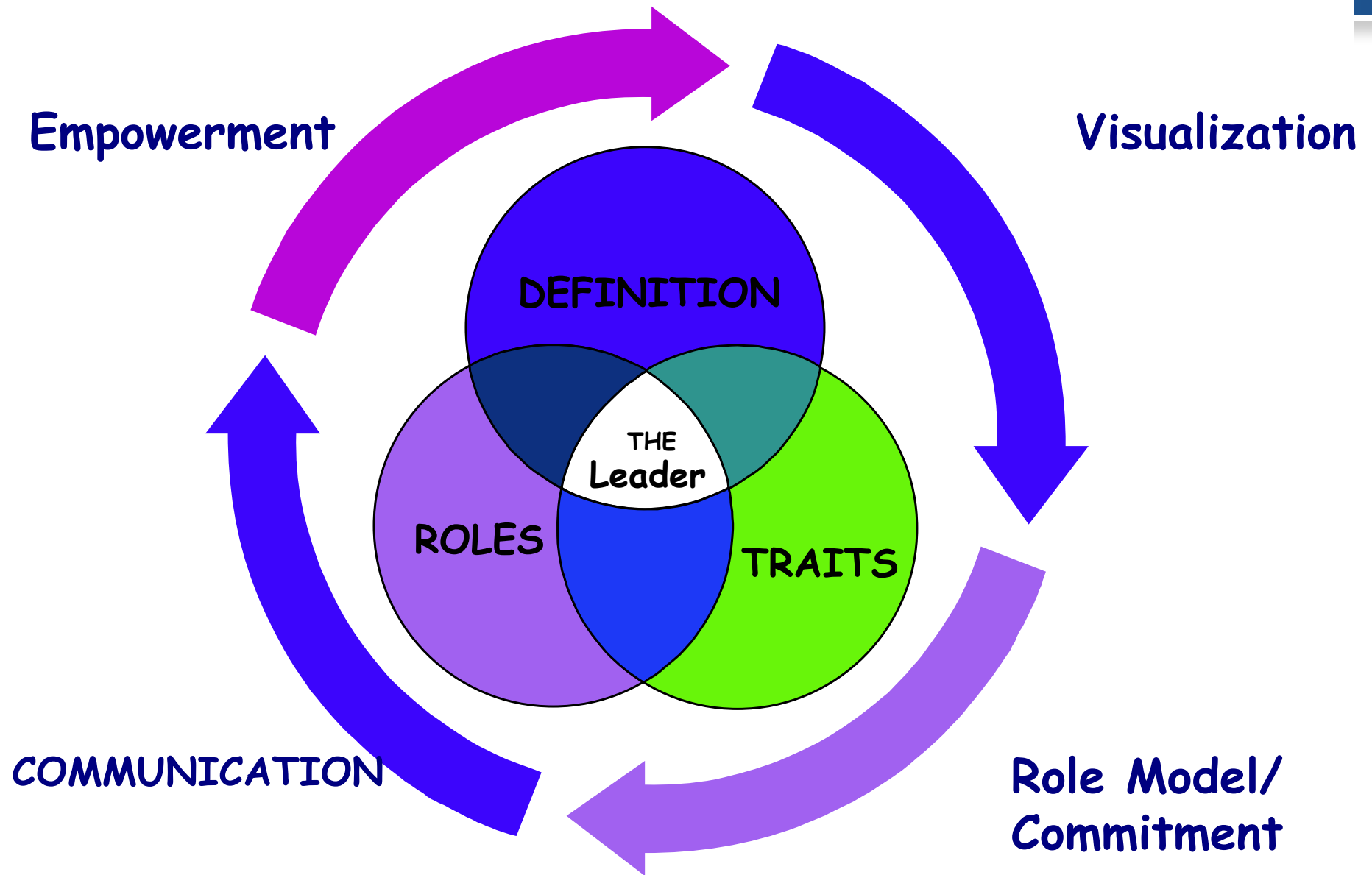
I am the Compliance Officer



You need to be Leaders?

- Empower
- Visualize
- Communicate
- Role Model/ Committed

HIGH PERFORMANCE Leadership MODEL



Empower Our Teams: Appreciate the Strengths of Everyone in the Organization



“In order to succeed we must be open and inclusive, we must embrace the marvelous and exciting diversity which is waiting to enrich our lives.”

Tazeem Nathoo



“Individuals carry their success and their failure with them... it does not depend on outside conditions...”

Ralph Waldo Trine



Success

Personal Responsibility - You are the *principal source* of the results that happen in your life / career, both individually and collectively.

Personal Accountability - You are willing to take *ownership* of the results that take place in your life/ career both individually and collectively.



The Formula for Success

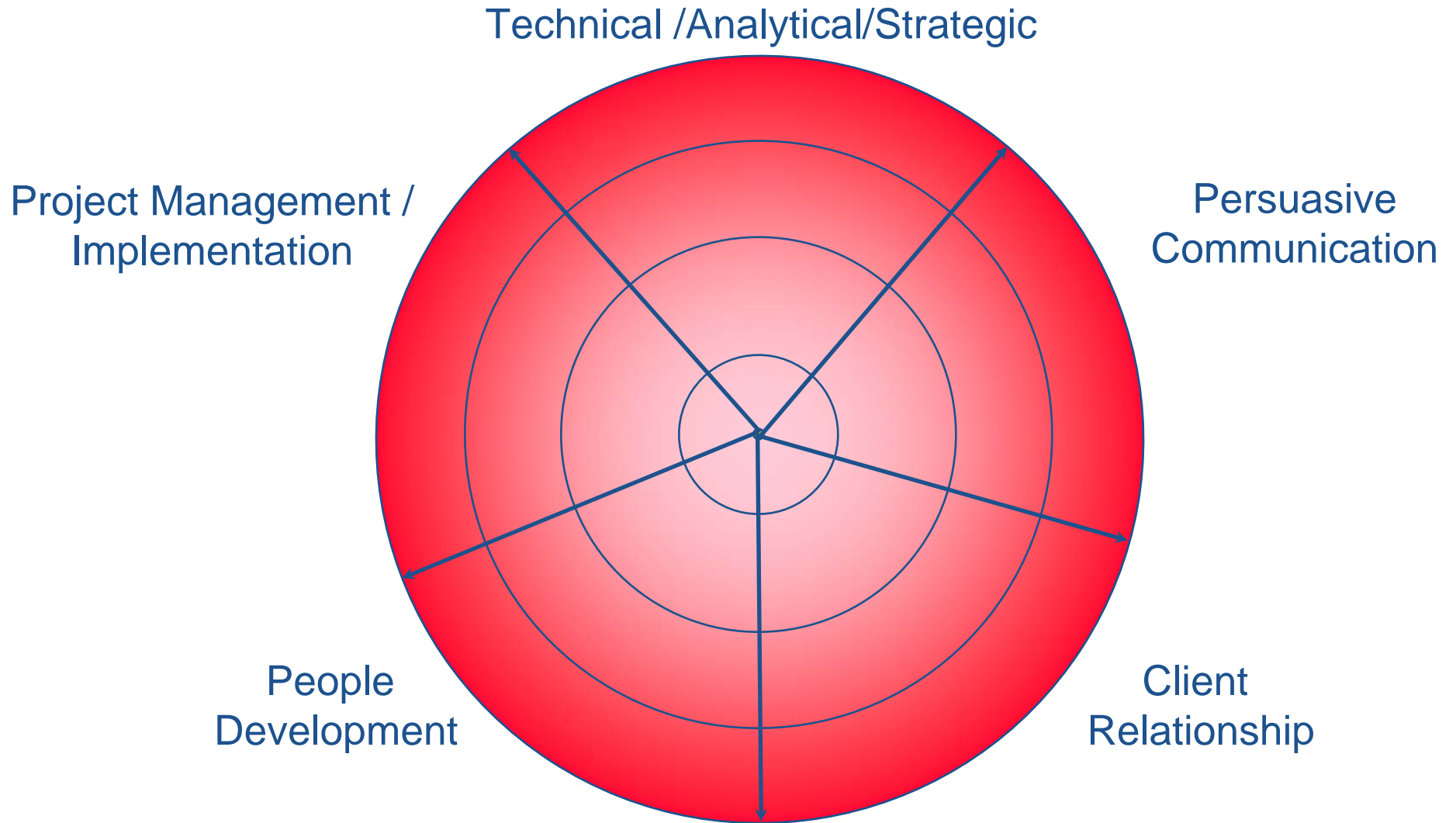
$$(TA + CRS + PA) \times AD = \text{SUCCESS}$$

- TA = Technical Ability
- CRS = Client Relationship Skills
- PA = Persuasive Ability
- AD = Achievement Drive





Skills Development





Characteristics of Effective

-Teams
-Team Members
- Team Leaders



Characteristics of a Team

- Common purpose, Goals Objectives
- Listeners
- Differences are freely expressed
- Energy focused on problem solving
- Balanced roles
- Encourage risk
- Develop a climate of trust



Characteristics of a Team Member

- Support team leader
- Express opinions for and against
- Accept responsibility and ownership
- Take the role of “A Jazz Player”
- Avoid being parental
- Criticize ideas, not people



Characteristics of a Team Leader

- Be good communicators
- Be an encourager
- Give praise and recognition
- Willingness to change
- Represent the team and fight a good fight



Factors Affecting Individual Team Effectiveness

- Understanding of Yourself
- Values
- Degree of openness
- Personality or behavior style
- Skills of individual team members
- Understanding the team process



The Team Process

- Clear goals and objectives
- Contributions from all team members
- Individual and team support
- Clear roles
- Address differences assertively

Visualize: The Future



“The great thing in this world
is not so much where we
are, but in what direction
we are moving.”

Anonymous



To be where you want to be we
have to

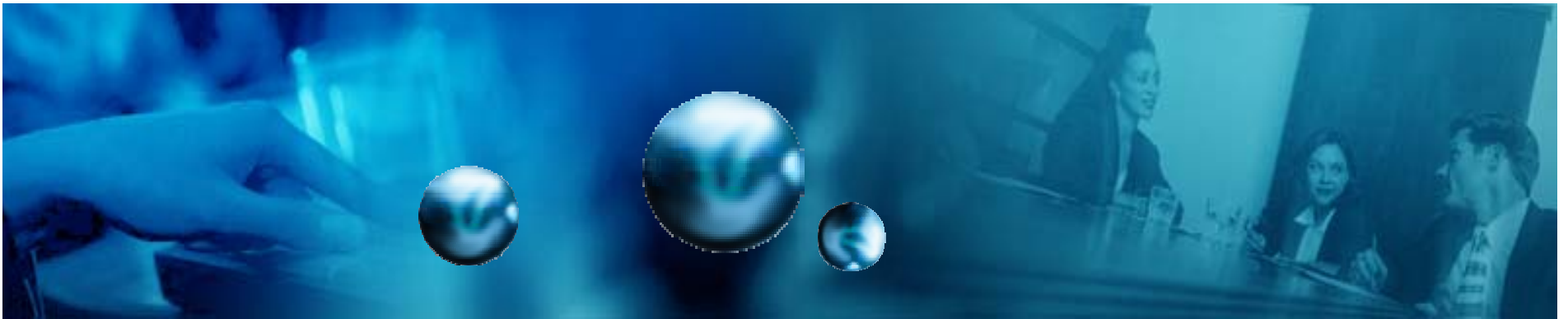
**Visualize and
Eliminate Blind
Bowling!**



Me Inc.

- Mission
- Enthusiasm
- Integrity
- Needs Satisfaction
- Commitment

A Vision Sample



One national organization committed to quality, providing professional services that meet the information needs of our clients and other stakeholders and providing outstanding career opportunities for our people.

Paradigm Shifts



Focus

Hard Controls

Control Evaluation

Control

Risk - Threats

Past

Review

Detective

Operational Audits

Auditor

Imposition

Persuasion

Independence

Audit Knowledge

Catalyst

Transactions

Control Activities

Control Consciousness

Additional Focus

Soft Controls

Self-Assessment

Risk

Risk - Opportunities

Future

Preview

Preventive

Strategy Audits

Consultant

Invitation

Negotiation

Value

Business Knowledge

Change Facilitator

Processes

Management Controls

Risk Consciousness

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A Mission Statement



Help our clients succeed by
exceeding their expectations and
delivering value in everything we do.



Personal Mission Statement

- What is your personal mission statement?
- What is your purpose as a Compliance Officer?
- What are the top 2-3 things you want from this conference?

Communicate Listen with Your Heart



“Meaning lies not in what
the speaker says, but in
what the listener hears.”

Anonymous

The Platinum Rule of Communication

- The Golden Rule
 - “Treat people the way you want to be treated”
- The Platinum Rule
 - “Treat people the way they want to be treated”
- Three basic communication needs
 - Inclusion
 - Control
 - Affection



What business are you really in?

- Who are your ideal clients/ customers ?
- Why do people buy what you are selling/have to offer ?
- What can you give clients that they cannot get anywhere else?
- What **BUSINESS** are we really in?



Marketing Your Brand

BRANDING

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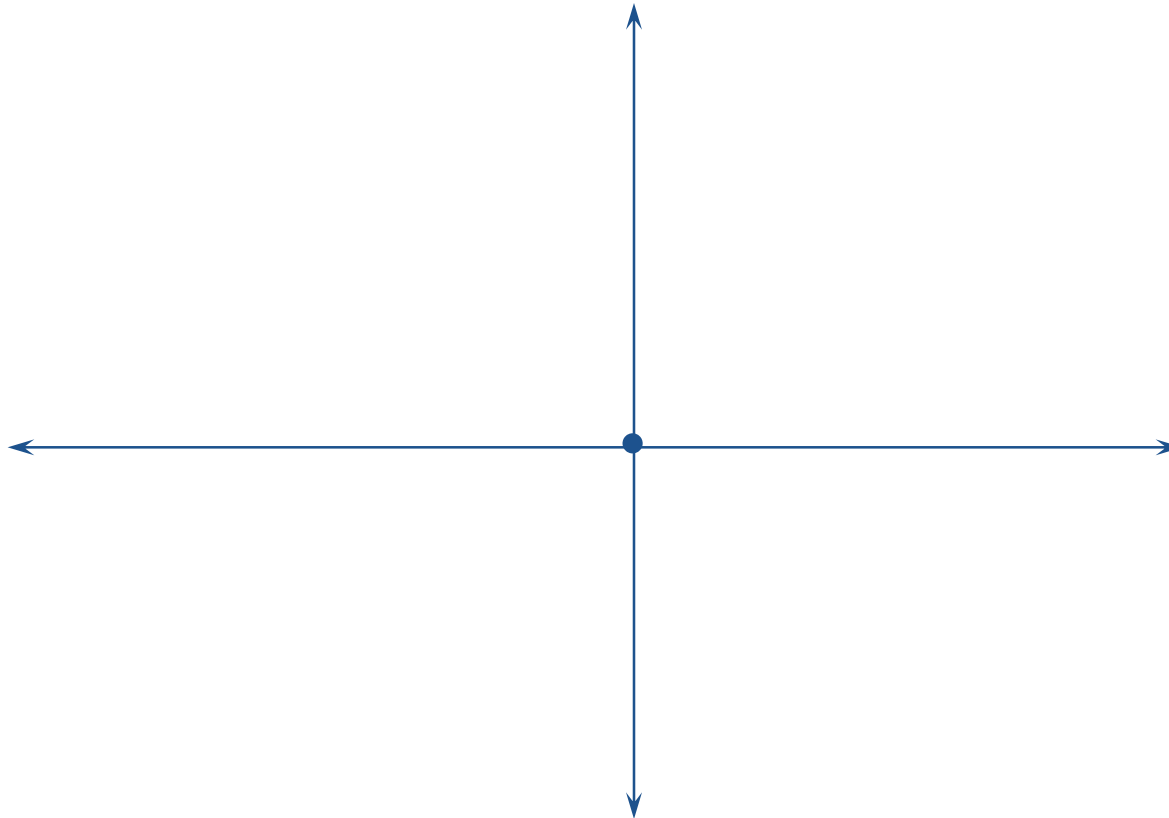
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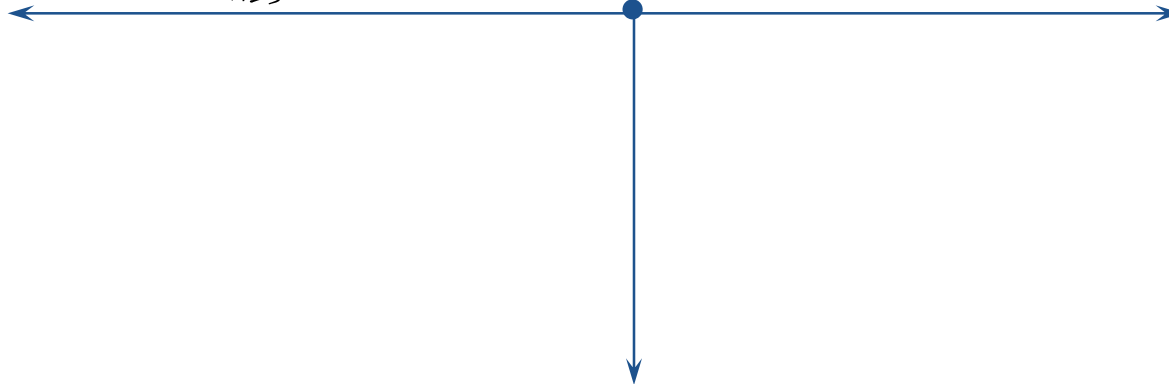
Marketing Your Brand

BRANDING

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Recognized Authority





Marketing Your Brand

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Recognized Authority



Novice



Marketing Your Brand

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Recognized Authority

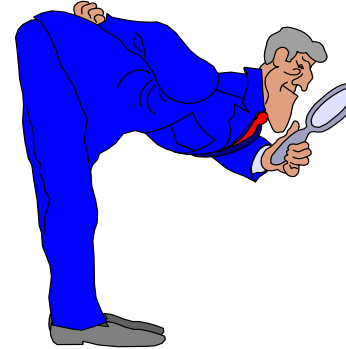


Empty Suit

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Best Kept Secret



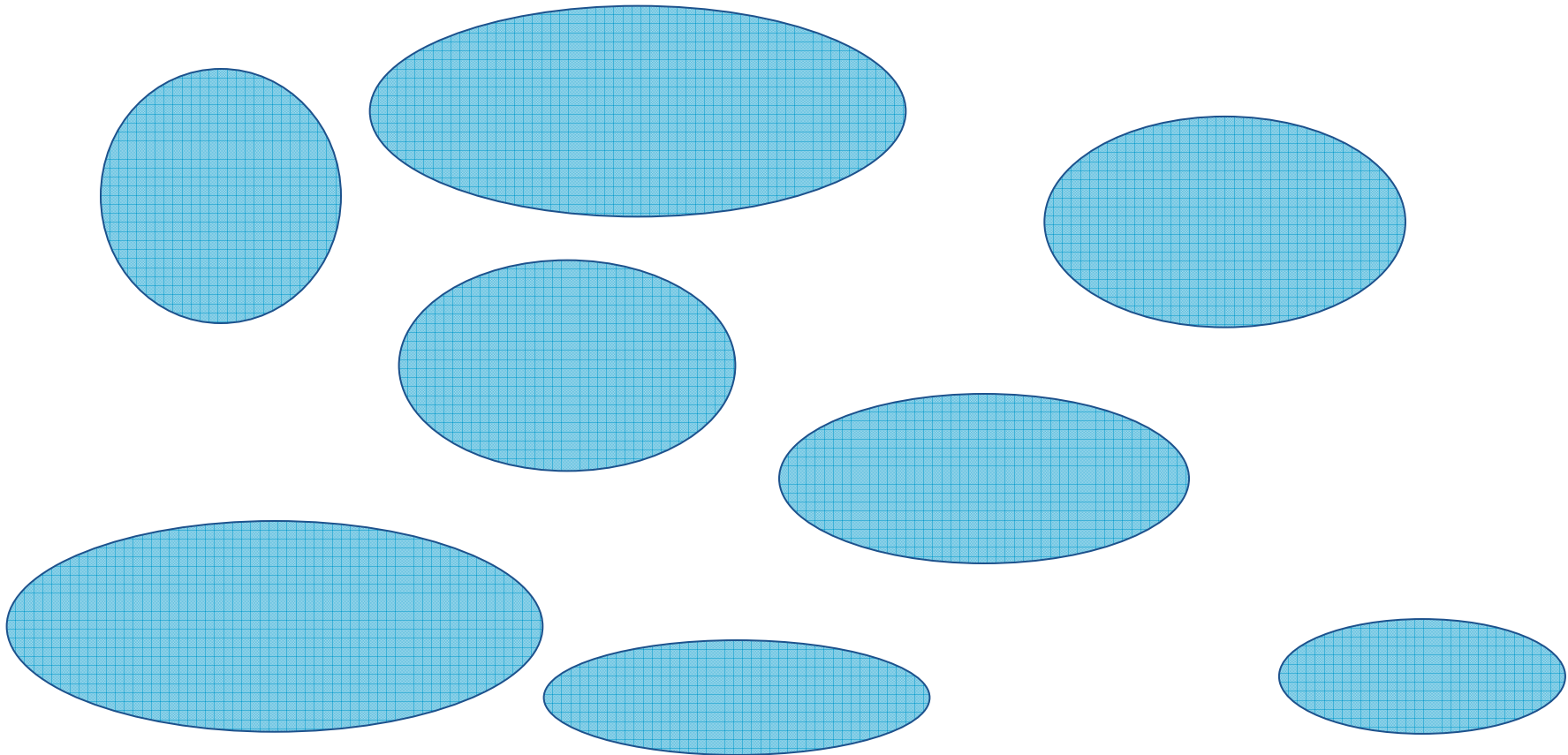
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Novice



Who are our Customers



Robinson's Rainmaking Rules

A Five Step Plan





Robinson's Rainmaking Rules

A Five Step Plan



GET A PLAN!!!

Robinson's Rainmaking Rules

A Five Step Plan





Magic Marketing Mix

{ (80/20) 16 (m³) }

25

25

25

1

(1)



Magic Marketing Mix

{ (80/20) 16 (m³) }

25= Advocates

25= Customers

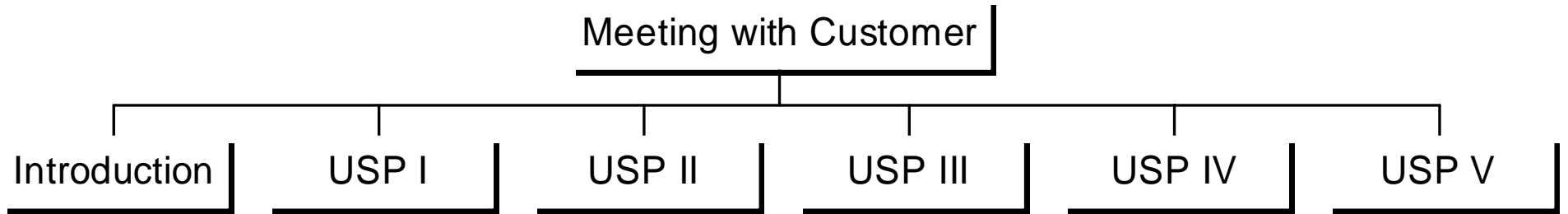
25= Associations

1 = Targeted Group

(1) = Blitz

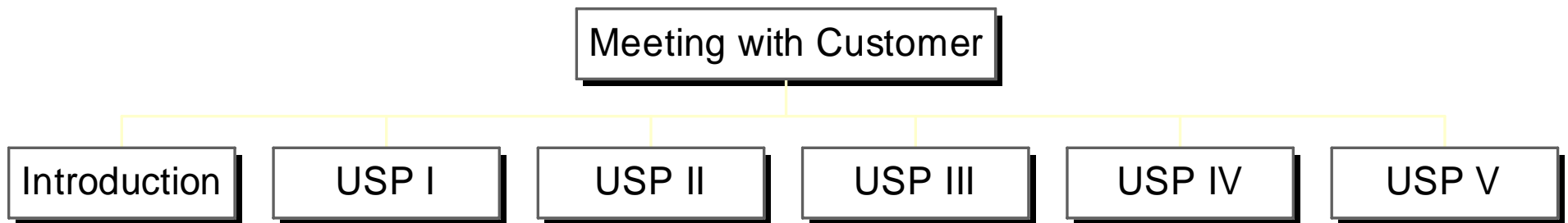


The Business Development Cycle





The Business Development Cycle



Repeat the process!

Be A Role Model - Be Committed: Believe in the Power of Adventurous Faith



“Little faith gets little results;
big faith, big results.”

Norman Vincent Peale



Success for the Future

- Drink
- Swear
- Steal
- Lie

HIGH PERFORMANCE Leadership MODEL

