

**complinet**



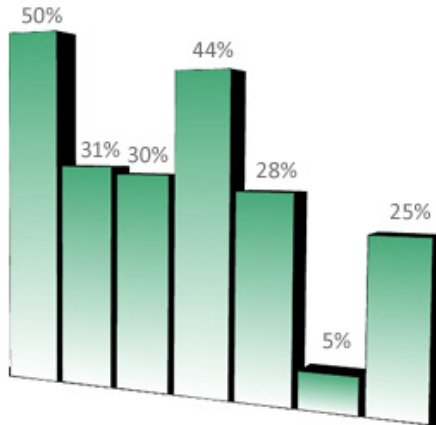
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**The Great Crash of 2008**

Survey Results



1. How does your firm currently measure successful compliance? (Multiple responses received)



Passing examinations : 50%  
 No fines (or limited fines) : 31%  
 No enforcement activity : 30%  
 Centralised policy management : 44%  
 Passing the Regulators assessment : 28%  
 "Just not getting caught" : 5%  
 Other, please specify : 23%

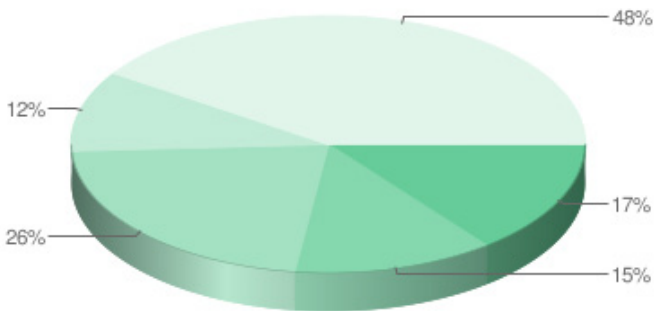
2. Does your firm give you the time and resources to influence change and build a 'compliance culture' within your organisation?

Yes : 87%  
 No : 13%





3. Everyone wants (and needs) a complete compliance solution. Which of the following does your firm not have in order for you to ensure successful compliance:



Regular and up-to-date training programmes : 17%  
 Centralised policy management : 15%  
 Global screening solution that limits the amount of 'false positives' : 26%  
 Up-to-date compliance news and analysis : 12%  
 Other, please specify : 48%

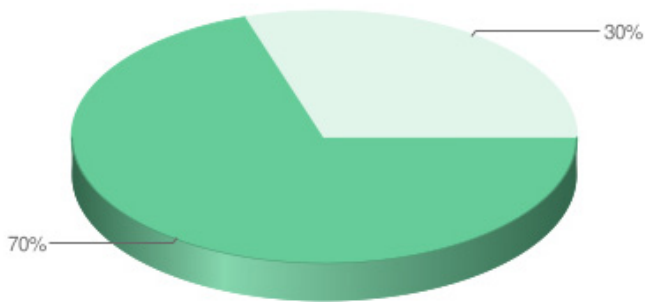
4. A key message from the regulators is to establish a culture of compliance throughout the firm. Do you now have the ear of senior management at your firm?



Yes : 88%  
 No : 12%



5. Does compliance now have more influence on business line decisions?



Yes : 70%  
No : 30%

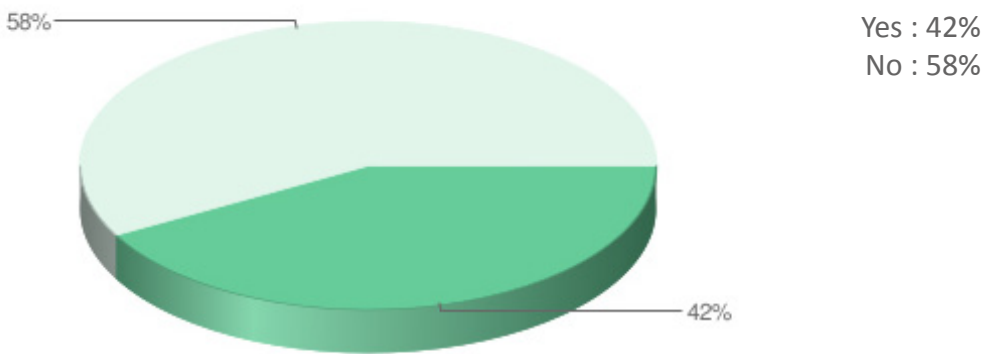
6. Do your firm's policies now reflect the accountability of individuals for their actions?



Yes : 81%  
No : 19%

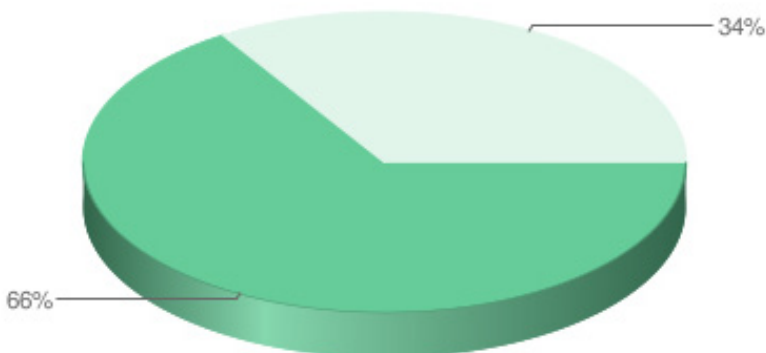


7. Have executive compensation packages and bonuses been adjusted (post-financial crisis) at your firm?



Yes : 42%  
No : 58%

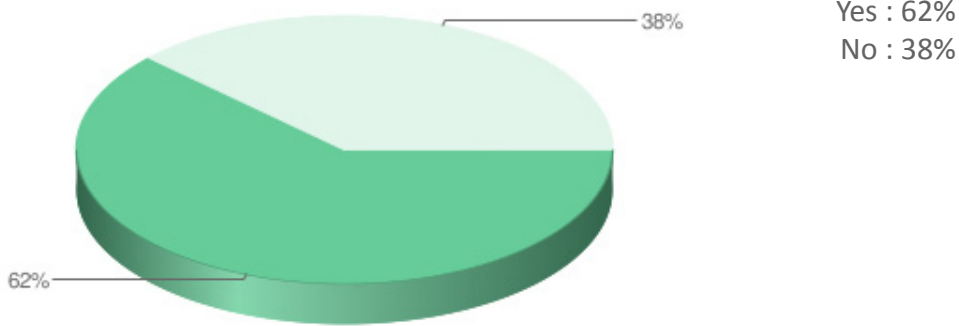
8. Does your firm take compliance more seriously in the post-crash world?



Yes : 81%  
No : 19%



9. As the markets recover, are business ethics and education on the 'spirit of compliance' being implemented into your company culture?



10. Since the crash, has compliance become more essential in your organisation?

