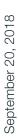# ANDREA ROSEN AND ASSOCIATES

WORKSHOP

REGULATORY COMPLIANCE PROGRAMS AND MANAGEMENT TRAINING

ARA

PROGRAM 1:

REGULATORY COMPLIANCE TRAINING

PROGRAM 2:

IN-HOUSE COMPLIANCE MANAGEMENT

REGULATORY COMPLIANCE PROGRAMS AND MANAGEMENT TRAINING

ARA's one to three-day training workshops and webinars are robust, interactive ways to learn critical concepts that are integral to your organization's needs in dealing with Regulatory and Enforcement agencies, and to your organization's internal regulatory compliance management.

OUR APPROACH IS TARGETED

Our approach is focused on the unique needs of the organization, providing a group learning experience to ensure all affected staff are able to navigate compliance issues. We also deliver a personalized and customized learning environment to senior managers who are mandated to manage a firm's compliance programs.

OUR FACILITATORS ARE EXCEPTIONAL

ARA's team offers extensive regulatory and enforcement experience and superb interpersonal skills. They are accomplished professionals with the savvy and know-how to offer even the most complex feedback in a positive and constructive way.

OUR PROGRAMS ARE PRACTICAL

Our training and coaching programs are specifically designed to be practical, pragmatic, and relevant.

1 REGULATORY COMPLIANCE TRAINING

ARA offers courses to compliance professionals or in-house training to firms that wish to ensure their Compliance Department, Senior Executives and Boards of Directors understand and follow compliance procedures that will assist them in avoiding regulatory and enforcement actions by government agencies.

ARA WILL PROVIDE:

- An easy to understand overview of the important rules/legislation/principles underlying your corporate lines of business, including basic principles of constitutional and administrative law and what judicial review means for your decision making process
- A framework for how to conduct business in accordance with the laws
- A checklist of actions required
- Innovative actions that create and advance processes and procedures to promote compliance
- An interactive style of training, where participants receive answers to practical and scenario-based questions, ensuring participants have sufficient practical as well as theoretical knowledge of their responsibilities

PARTICIPANTS WILL STRENGTHEN THEIR ABILITIES BY:

- understanding the legal requirements and tools needed to implement a customized regulatory compliance program
- gaining a full understanding of their roles and responsibilities respecting regulatory compliance
- developing the skills and tools to monitor compliance in the workplace
- learning how to set the groundwork required to conduct compliance audits & identify potential risks of regulatory exposure

2 IN-HOUSE COMPLIANCE MANAGEMENT

ARA designs compliance programs and assists firms in implementing procedures to ensure they are active, monitored and effective in mitigating the need to respond to regulatory and enforcement agencies.

ARA staff is highly effective in meeting the needs of firms that:
- wish to develop or enhance cost-effective compliance programs
- are faced with a regulatory and enforcement agency that has identified an issue of non-compliance
- must attempt to mitigate, where prossible, the high cost of compliance failures, through negotiated settlements