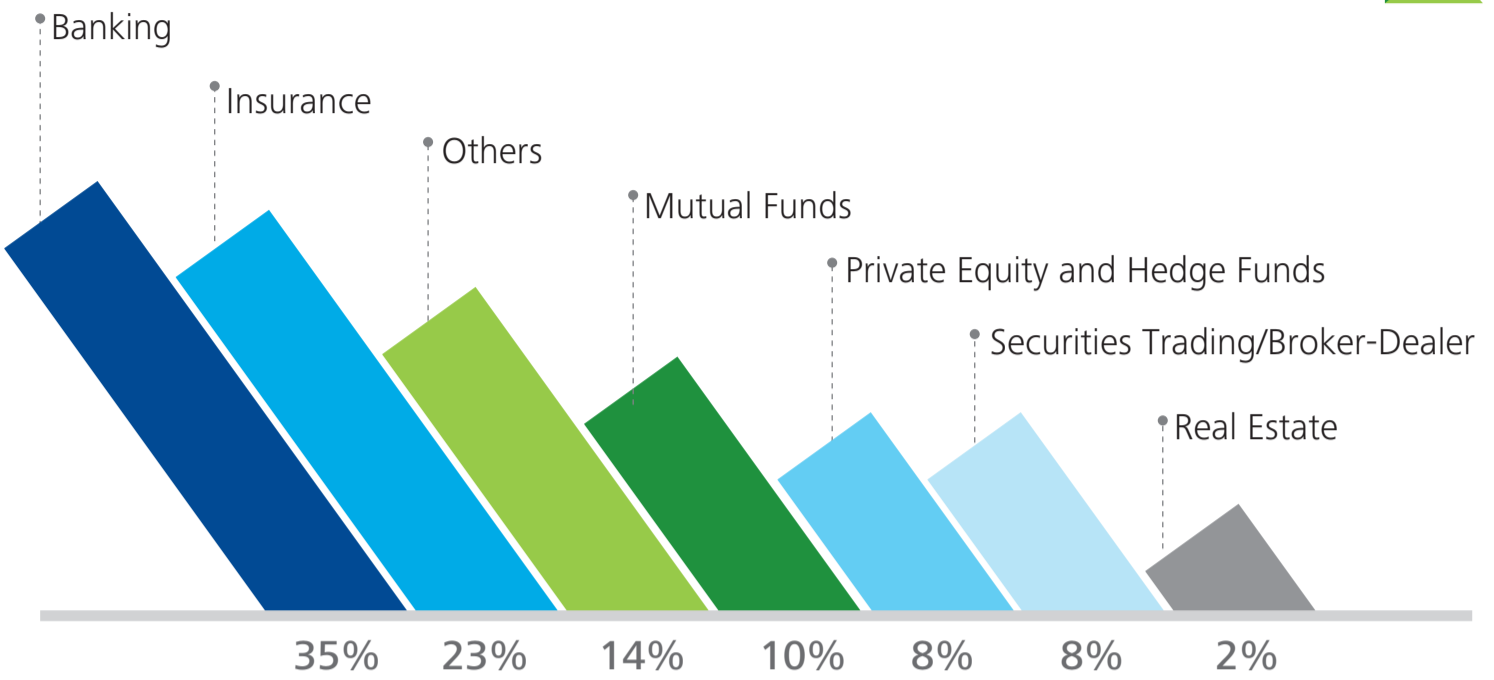


**INSIGHTS**  
**COMPLIANCE TRENDS SURVEY 2014**  
**FINANCIAL SERVICES**

IN THE FINANCIAL SERVICES INDUSTRY, THE RESPONDENTS ARE FROM

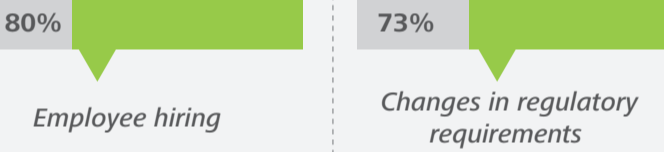


**BUDGET**

35% of organizations have compliance budgets of \$1 million or less, including salaries

**59%** of organizations have increased their compliance budgets in the last 12 months

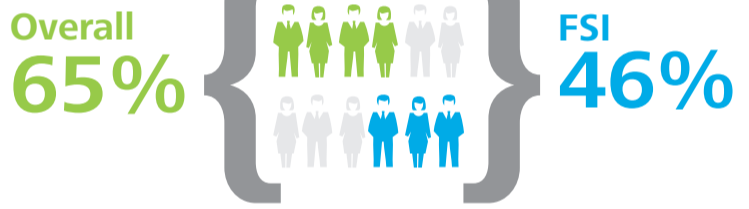
Top 2 factors that influenced the budget increase



61% of organizations expect their total budgets for 2015 to increase

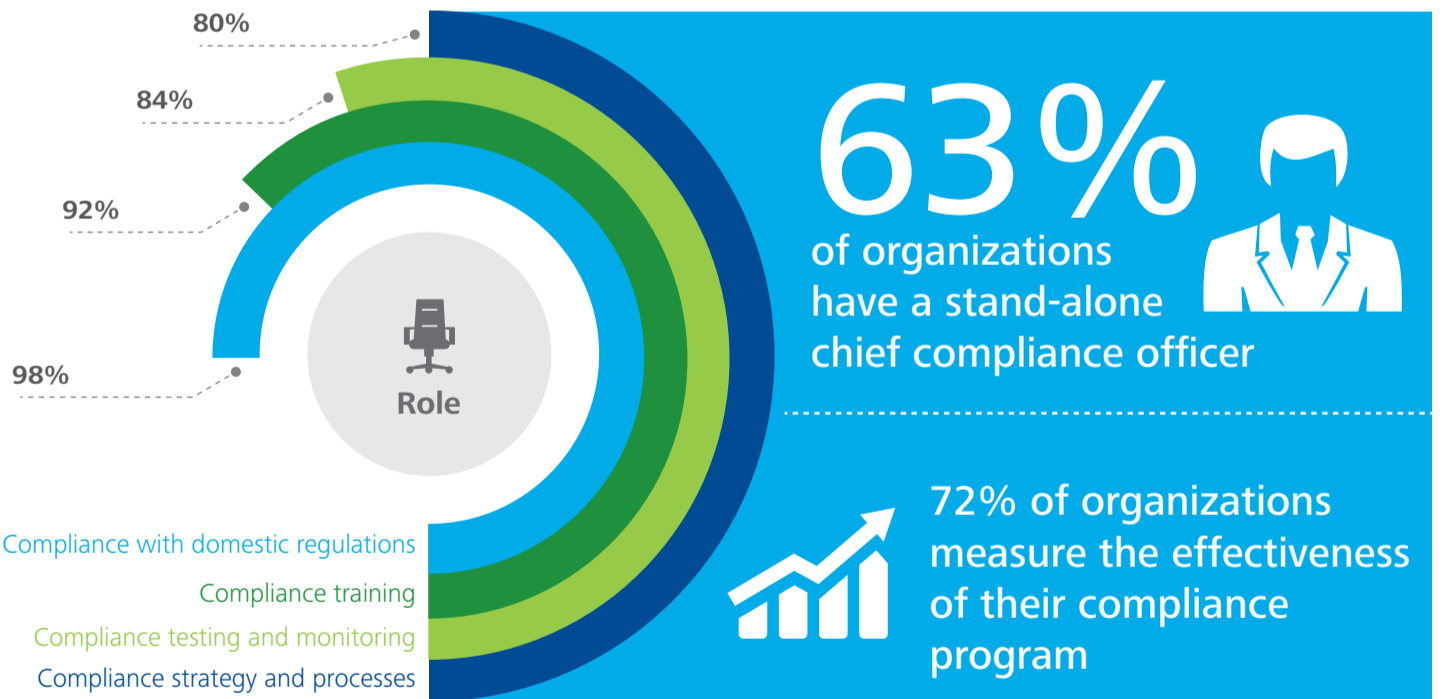
**STAFF**

Organizations have less than 10 full-time people specifically focused on ethics and compliance



**ROLES AND REPORTING STRUCTURE**

TOP 4 RESPONSIBILITIES OF A COMPLIANCE FUNCTION



TOP 3 TIME-CONSUMING REGULATORY AREAS OF FOCUS

CONSUMER PROTECTION

INVESTOR PROTECTION

ANTI-MONEY LAUNDERING



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